

**Request for Application
TCS-01-101
Tobacco Control Interventions
Targeting Young Adults**



March 1, 2001

CALIFORNIA DEPARTMENT OF HEALTH SERVICES
TOBACCO CONTROL SECTION
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March 1, 2001

TO: Prospective Applicants

SUBJECT: REQUEST FOR APPLICATION (RFA) # TCS-01-101

Attached is RFA # TCS-01-101, entitled "**Tobacco Control Interventions Targeting Young Adults.**" The purpose of this RFA is to seek applications that reach California's young adults who are disproportionately targeted by the tobacco industry and/or experience disproportionately high rates of tobacco use. For the purpose of this RFA, young adults shall be defined as those from 18- to 24-years of age of all ethnicities, whether attending college, university, or trade school, a member of the Armed Forces, employed or unemployed. Interventions may target those in this age group where they live, work, congregate, or recreate. Interventions may also target groups or institutions, whose members may not be 18- to 24-years of age that may impact tobacco use by young adults.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **Applications are due in the California Department of Health Services, Tobacco Control Section (CDHS/TCS) office no later than 5 p.m., on Thursday, April 12, 2001.**

The complete RFA and all required forms are also available on the CDHS/TCS website: www.dhs.ca.gov/tobacco. In addition, the Policy Section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their applications.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled Bidders' Conference. Please bring a copy of the RFA with you to the conference. Answers to questions about the RFA will only be provided at this

Prospective Applicants
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conference. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

BIDDERS' CONFERENCE:

**Thursday, March 15, 2001
9 a.m. – 12 p.m.
Department of Health Services
601 North 7th Street
Continental Plaza Auditorium
Sacramento, CA 95814**

If anyone attending the Bidders' Conference requires special accommodations for the hearing impaired, please call Gloria Marquez, Contract Manager, Administrative and Contract Support Unit, CDHS/TCS at (916) 322-2063 by March 12, 2001.

Dileep G. Bal, M.D., Chief
Cancer Control Branch

cc: Local Lead Agencies
Regional Community Linkage Projects
Ethnic Networks
Competitive Grantees

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I. INTRODUCTION

A. Purpose

The purpose of this Request for Application (RFA) is to seek applications from California non-profit agencies to conduct community tobacco control interventions that address needs specific to young adults that are disproportionately targeted by the tobacco industry and/or experience disproportionately high rates of tobacco use. For the purposes of this RFA, young adults are defined as those from 18- to 24-years of age of all ethnicities, whether attending college, university, or trade school, a member of the Armed Forces, employed or unemployed. Interventions may target those in this age group where they live, work, congregate, or recreate. Interventions may also target groups or institutions, whose members may not be 18- to 24-years of age that may impact tobacco use by young adults (e.g., bar owners, music groups, sports figures, etc.).

It is the responsibility of the applicant to adequately demonstrate that young adults identified are disproportionately targeted by the tobacco industry and/or experience a disproportionately high use of tobacco, or that the group(s) or institution(s) targeted have a credible influence on tobacco use by this age group, as demonstrated by credible and scientific data resources. Please refer to Section IV, Application Requirements and Instructions, item C.4. of this RFA for further information.

To be considered for funding, applicants must demonstrate coordination with the California Youth Advocacy Network (CYAN), designated as the lead agency for projects targeting 18- to 24-year-olds. At a minimum, coordination should include:

- Participation in one to two annual statewide advocacy events;
- Participation in local tobacco control trainings provided by CYAN; and
- Attendance at a California-based National Conference on 18- to 24-year-old advocacy.

This RFA will **not** fund efforts that address or include the following areas or activities: 1) a sole focus on the provision of tobacco cessation services; 2) tobacco cessation websites; 3) a sole focus on 18- to 24-year-olds as social sources of tobacco; 4) smoke-free pledges to reduce exposure to environmental tobacco smoke (ETS) in homes and vehicles; and 5) planning objectives.

Funding for RFA # TCS-01-101 competitive grants is made available from the State of California through the Governor's budget. Pursuant to Health and Safety Code Section 104445, preference is given to community-based organizations that have demonstrated their effectiveness and capacity to provide anti-tobacco use education services and serve populations in areas with unmet needs.

B. Background

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25 cent tax to each pack of cigarettes sold in the state. These additional tobacco taxes were earmarked for tobacco-related research, health education and promotion, and health care.

The enabling legislation for Proposition 99 includes Assembly Bills (AB) 75, 99, and 3487, and Senate Bills (SB) 99, 816, 493, and the annual State Budget. These bills provide legislative authority for programs administered by CDHS/TCS to:

- conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;
- apply the most current research and findings; and
- give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

The scope of the health education campaign launched by CDHS/TCS is addressed in the Health and Safety Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local health departments, competitively selected community agencies, a statewide media campaign, and an extensive evaluation of the entire tobacco control program.

Since the passage of Proposition 99, per capita cigarette consumption in California has declined by more than 50 percent and the adult smoking prevalence has declined by more than 20 percent. Lung cancer rates over the past 10 years have decreased by 14 percent, while other regions of the country reported only a 2.7 percent decrease over the same period.

Youth smoking prevalence has been consistently lower in California than in other states. From 1998 to 1999, there was a dramatic drop in youth smoking from 10.7 percent to 6.9 percent as measured by the California Youth Tobacco Survey, a randomized statewide telephone survey. This decline was observed across all genders and races.

While California has experienced numerous successes and has become a leader in tobacco control, smoking remains the leading cause of preventable death and disability. It kills over 42,000 California smokers and 5,000 nonsmokers every year, along with hundreds of thousands more suffering from tobacco-related diseases and the premature loss of loved ones.

Unfortunately, the adult smoking prevalence in California has not declined, but has remained essentially flat since 1995 with a rate of approximately 18 percent in 1999. Even more disturbing is that over the past several years smoking prevalence rates for 18- to 24-year-olds have steadily risen, from 16.4 percent in 1995 to 22.7 percent in 1999.

Young adults aged 18 to 24 differ from adults aged 25 and over in a number of ways, as evidenced by data from the California Adult Tobacco Survey 1998. Of special interest is that young adults are more likely to be occasional smokers, with statistically fewer young adults aged 18 to 24 than adults aged 25 and over likely to smoke alone. Statistical differences also exist in the following attitudes and knowledge.

More adults aged 25 and over than young adults believe that:

- advertising increases youth smoking prevalence;
- the tobacco industry can lower the nicotine content of tobacco products;
- cigarette advertising should not be placed outdoors;
- the tobacco industry should not offer tobacco industry gear; and
- the tobacco industry deliberately misleads the public.

More young adults than adults aged 25 and over believe that:

- secondhand smoke causes lung cancer;
- tobacco retailers should be licensed to sell tobacco products;
- there is a need for strong warnings on tobacco products;
- the tobacco industry should not be a legitimate business; and
- tobacco should be regulated as a drug.

Data from the Survey of California Adults on Second-Hand Smoke conducted by the Field Research Corporation, January 2001, also shows the following statistically significant differences:

- 72.6 percent of respondents 18- to 24-years-old agreed that on-campus student housing affiliated with public colleges and universities should be smoke-free, while 79.4 percent of adults aged 25 and over agreed; and

- 77.1 percent of respondents 18- to 24-years-old agreed that outdoor entertainment venues such as sports stadiums, amphitheaters, amusement parks, zoos, and fairgrounds should have designated smoking and non-smoking areas, while 84.5 percent of adults aged 25 and over agreed.

All indications are that the tobacco industry has focused its marketing juggernaut on young adults, who represent the industry's youngest legal targets, since the Master Settlement Agreement (MSA) went into effect in 1998, making them an important group for tobacco use prevention. The health behaviors of young adults are important because this group is in a transition between adolescence and early adulthood, a time during which unhealthy behaviors developed during adolescence may be malleable or may be consolidated into lifetime patterns. Additionally, a large national study conducted at the Harvard School of Public Health between 1993 and 1997 concluded that more than one-fourth of all college smokers began to smoke regularly at or after age 19.

California statistics from the Independent Evaluation of the California Tobacco Control Prevention & Education Program: Wave 2 Data 1998 further demonstrate some of the challenges encountered by young adults, complicated by tobacco industry targeting:

The Tobacco Marketing Environment in California

- National magazines with high California readership had relatively high levels of tobacco advertising (2.3 ads per issue). Magazines aimed at young adults and men had significantly more tobacco ads per issue.
- Tobacco advertising has increased in most types of California newspapers from .11 ads per issue in 1996 to .27 ads per issue in 1997-1998. Tobacco ads were most frequent in weekly entertainment newspapers followed by African American newspapers. The majority of tobacco ads in African American and Hispanic newspapers were corporate promotional messages from Phillip Morris, Brown and Williamson, and R.J. Reynolds.
- Tobacco-sponsored bar-nights were heavily advertised in weekly entertainment newspapers in large cities and this increased from 0.4 ads per issue in 1996 to 2.5 ads per issue in 1998. These types of marketing efforts have not abated despite the application of AB 13 to bars and clubs, nor do they appear to be facing any restrictions in the future.
- In 1998, there were 267 tobacco-sponsored public events in California. Predominant event sponsors were RJ Reynolds, Kodiak Tobacco, Phillip Morris, and US Tobacco. Seventy-eight percent of tobacco industry sponsored events during 1998 in California were car/sports competitions. Most tobacco-sponsored events were part of a series that traveled nationwide, with the sponsorship

organized at the national level. Tobacco-supported events tend to draw a larger audience than non-tobacco events.

- Retail advertising of tobacco products is very high, with an average of 17.1 advertisements per store. Marlboro dominates the retail environment, with an average of five ads per store, followed by Camel with an average of two ads per store. Fifty-eight percent of retail stores report they receive incentives from tobacco companies to prominently place and promote the sale of their products. Sixty-two percent of these stores report they receive monetary incentives; this amount exceeds the amount retailers receive from other product types.
- The public is concerned about the amount of tobacco advertising and marketing in their communities. One-half of adults thought that it is a serious problem that tobacco products are advertised in their communities.
- Adults and youth are skeptical of the tobacco industry's practices. More than three-fourths of adults thought that tobacco companies are generally dishonest in the information they give the public about their products, try to get youth to start smoking by using ads that are attractive to youth, and increase nicotine in cigarettes to get people addicted to tobacco. However, in California more adults 25 years of age and over, than young adults 18 to 24, believe the tobacco industry misleads the public.
- The public supports restrictions on tobacco advertising and marketing. In 1998, from one-half to two-thirds of adults and opinion leaders supported restrictions to ban tobacco advertising in stores and on billboards, to ban tobacco sponsorship of sporting and community events, and to reduce the amount of smoking on TV programs and in films.

Reducing Secondhand Smoke

- Nonsmokers at greatest risk of exposure to secondhand smoke at home on a daily basis included African Americans and those 18- to 24-years of age. Hispanic/Latinos and those with less education were at highest risk for exposure to secondhand smoke at work (five or more days per week).
- Rural areas appear to have the most challenges in enforcing the smoke-free bar law. When an enforcement agency considers secondhand smoke and its enforcement a serious community problem, they are more likely to collaborate with other community groups including the local tobacco control program in efforts to resolve the problem.
- Seventeen percent of California's nonsmokers are exposed to secondhand smoke in their homes. Twenty-four percent of nonsmokers are still exposed to secondhand smoke at work.

Reducing the availability of tobacco

- Friends are the primary social source of cigarettes for youth. Strangers who are asked to buy cigarettes for minors tend to be smokers, younger adults, males, and those with lower incomes. Fifty-nine percent of California 18- and 19-year-olds and 39.3 percent of 20- to 24-year-olds have been approached to provide tobacco to minors.

C. CDHS/TCS Program Priorities

CDHS/TCS is responsible for supporting a statewide Tobacco Control Program designed to reduce tobacco use in California. Through the use of a social norm change model, the Tobacco Control Program has been able to “denormalize” smoking and indirectly influence current and potential future tobacco users by creating a social climate where commercial tobacco use becomes less desirable, less acceptable, and less accessible. Although this RFA is not funded by Proposition 99, projects funded under this RFA will complement the Proposition 99 funded tobacco control projects targeting the 18- to 24-year-old population.

Based on the current picture of tobacco use in California and past successes, the focus for this RFA continues to be on the CDHS/TCS priorities: 1) countering pro-tobacco influences in the community; 2) reducing exposure to secondhand smoke and increasing the number of smoke-free public spaces, worksites, schools, and communities; 3) reducing the availability of tobacco products; and 4) increasing availability of cessation services. These priorities address key factors related to adult and/or youth tobacco use and are broad enough to encompass nearly all tobacco control activities.

The Tobacco Control Program will support projects that address one or more of the aforementioned denormalization priorities. All applications must be likely to result in community norm change and should incorporate policy, media, young adults, youth, and/or community advocacy strategies. See Appendix A for sample intervention activities. CDHS/TCS rationale for priority areas of programmatic focus for denormalization is as follows:

1. **Counter Pro-Tobacco Influences in the Community.** Eliminating tobacco industry influence in local communities is a high priority for California’s tobacco control programs. The tobacco industry spends massive amounts of money on slick advertising and promotional campaigns, which mislead the public regarding the addictiveness and negative health effects of tobacco. Tobacco companies strategically target specific community events, such as rodeos, festivals, concerts, and pow-wows to create the perception that tobacco is a vital and even necessary part of community life.

Tobacco control strategies in this priority area include: developing interventions to weed out the harmful tobacco industry presence in our communities; tracking

and reporting industry violations of the provisions of the MSA; enacting local policies to reduce exposure to tobacco advertising and promotions; creating alternative sponsorship opportunities; and countering efforts to block or weaken regulation of tobacco or policies already in place. In addition, because of the increase in smoking among young adults (18- to 24-year-olds), strategies are needed to impact this population with interventions to counter tobacco industry tactics that position tobacco use as “edgy” and “cool.”

2. **Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities.** The tobacco control literature shows that where there are strong policies that protect people from the effects of secondhand smoke, there is a drop in smoking prevalence. This cause and effect relationship has been substantiated on a large scale by the California experience.

In 1994, the State Legislature enacted the Smoke-Free Workplace Act, AB 13 (Labor Code 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1, 1998, ushered in the second phase of Labor Code 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Consistent education and enforcement has been and will continue to be critical to the success of Labor Code 6404.5. Protecting California workers and the public from the effects of secondhand smoke and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority with CDHS/TCS.

Additionally, the importance of addressing workplaces not covered through AB 13, such as on American Indian lands in California, remains an area of focus. Several American Indian owned businesses, including casinos, are beginning to institute smoke-free policies, but much work still remains.

Confirming the importance of reducing exposure to secondhand smoke, a 1997 California Environmental Protection Agency report, “Health Effects of Exposure to Environmental Tobacco Smoke (ETS),” provided overwhelming evidence that ETS exposure is causally associated with developmental, respiratory, carcinogenic, and cardiovascular health effects, including fatal outcomes such as Sudden Infant Death Syndrome and heart disease mortality, as well as serious chronic diseases such as childhood asthma.

3. **Reduce Availability of Tobacco Products.** Overall, California has seen a significant drop in the rates of illegal tobacco sales, down from 52.1 percent in 1994 to 13.1 percent in 1998. Although the rate increased in 1999 to 16.9 percent, preliminary 2000 results indicate that the rate has lowered once again. Despite this statewide trend, certain counties have documented increased sales rates in the past year, which suggests that continued interventions are needed to monitor and control the situation. In addition, over 80 percent of young people still report they have no problem obtaining tobacco.

The elimination of self-service displays in stores tends to decrease adult impulse purchases, illegal sales of tobacco to minors and youth theft. Other promising local interventions to reduce the availability of tobacco products include: tobacco retail licensure, which provides the municipality or other government entity the authority to fine or to revoke the license of those retailers who violate tobacco related laws, as well as conditional use permits that limit the location and number of retailers who sell tobacco in a specific jurisdiction.

This area is considered a lesser priority than countering pro-tobacco influences and reducing exposure to secondhand smoke. However, efforts to prevent youth access to tobacco, such as the Stop Tobacco Access to Kids Enforcement (STAKE) Act and Penal Code Section 308(a) enforcement, tobacco retailer licensing, tobacco self-service display policies, and conditional use permits must continue at a level that maintains California's compliance with state laws and with the federal law requiring an illegal tobacco sales rate of less than 20 percent.

4. **Increase Availability of Cessation Services.** Smoking cessation is a complex, often extended process. It starts with an individual contemplating the decision to quit and proceeds to, in most cases, several repeated quit attempts until they are successful. As social norms shift away from the acceptability of smoking, they influence the level of motivation to quit across the entire population of smokers, and motivate more smokers to quit on their own. As such, cessation becomes the outcome rather than the intervention. In California, 90 percent of former smokers report quitting on their own without cessation services. However, CDHS/TCS does fund free tobacco cessation assistance available for adults and teens from the California Smokers' Helpline. Cessation counseling is available in English, Spanish, Vietnamese, Korean, Mandarin, and Chinese. Most health departments also provide direct cessation services at no cost or for a nominal fee.

CDHS/TCS also funds several competitive grantees to approach cessation through a systems approach. This includes working with pharmacies, health maintenance organizations, and healthcare providers to improve their capacity to offer culturally and linguistically appropriate cessation services. Additionally, the statewide public relations campaign released a communication outreach kit, "Make 2000 the Year 2 Quit" for use by contractors to promote quitting through the media, newsletter, promotional events, etc.

Like reducing availability to tobacco products, increasing availability of cessation services is considered a lesser priority than countering pro-tobacco influences and reducing exposure to secondhand smoke. This RFA will **not** fund efforts with a sole focus on provision of tobacco cessation services.

D. Point-of-Sale Environment Statewide Campaign

The Point-of-Sale Workgroup is in the process of developing a comprehensive statewide campaign entitled Point-of-Sale Environment (POSE) to address issues related to tobacco and the point-of-sale environment. Development of this campaign is dependent upon a proposed augment of twenty million dollars to CDHS/TCS Budget beginning July 1, 2001. Development and production of campaign materials described below will take approximately six to nine months and will not be available until 2002.

Participation in the statewide campaign is optional. It is suggested that projects build participation of this statewide campaign into their Scopes of Work if they propose objectives that address the issues below and intend to have policy (voluntary or legislated) or increased enforcement as an outcome:

- Point-of-sale tobacco advertising;
- Tobacco retail licensing;
- Tobacco self-service display bans;
- Increased enforcement of tobacco sales to minors laws, including posting of STAKE Act signs; and/or
- Increased enforcement of State or local laws addressing outdoor tobacco signage at businesses.

1. Components

The statewide campaign is in the process of being designed. Specific details and timelines are not available at this time. It is conceptualized that the campaign will consist of multiple components with tools and training provided to support it. Participating projects will have the flexibility to use those components that complement their Scope of Work.

Components and tools may consist of the following items:

- Observation tools and survey protocols to monitor store environments for tobacco advertising and promotions, self-service tobacco displays, and STAKE Act signs;
- Report Card Format with standards that can be used to compare jurisdictions on tobacco issues related to advertising and the sale of tobacco products;
- Swiss Cheese press releases;
- Speaking points promoting the value of policies to control tobacco advertising, self-service tobacco displays, tobacco retail licensing and enforcement of tobacco-related laws;

- Sample letters to the editor;
- Sample letters to law enforcement officials;
- Fact sheets;
- Educational and training materials for merchants;
- Educational and training materials for law enforcement officials; and
- Model licensing ordinance and a model ordinance banning tobacco self service displays.

2. Tentative Timeline

March to July 2001	Point-of-Sale Practices Workgroup Develops a Campaign Plan with Specific Timelines and Responsibilities.
July 1, 2001	Contract with statewide projects to produce products, develop and pilot test campaign materials.
November 2001	Unveil campaign specifics at the Statewide Project Directors' Meeting November 5-8, 2001, Squaw Creek.
February/March 2002	Launch specific campaign component trainings on the use of campaign materials and tools.
April 2002-June 2004	Implement campaign activities.

3. Scope of Work

Projects that intend to participate in this exciting campaign, should be prepared to spend approximately 20 percent of the project's time on campaign activities during the period April 2002 to June 2004. For purposes of the Scope of Work, projects may use the following language as an "Activity" to describe participation in this statewide campaign.

"Participate in the Point-of-Sale Environment Statewide Campaign to implement activities focused on the following issues (insert all of the following that apply and are related to your outcome objective -- Point-of-sale tobacco advertising, tobacco retail licensing, tobacco self-service display bans, increased enforcement of tobacco sales to minors laws, increased enforcement of State or local laws addressing outdoor tobacco signage at businesses)."

E. Principles of Working with 18- to 24-year-olds

The 18- to 24-year-old population is growing tremendously in number, a phenomenon not seen since the baby boom generation. According to the 1990 Census, 46 percent of California residents in this age group were born in the State, 31 percent were born in other states, and 23 percent were born in other countries. It is important to note that those residents who have relocated from other states or countries have not received the same long-term anti-tobacco messages as native Californians. The ethnic breakdown of 18- to 24-year-olds in California is over 40 percent White, 32 percent Hispanic, 11 percent Asian/Pacific Islander, 8 percent Black, and roughly 1 percent American Indian. This age group is becoming much more ethnically diverse as youth age and move into the group.

Where are 18- to 24-year-olds? This group is less structured and more scattered than teens and older adults. Most are working full-time, working part-time, and/or attending college. Sixty-five percent of California high school seniors, a record number, will enroll in a two or four-year college or university. Research from University of California, Los Angeles indicates that young women are involved in clubs and groups, doing housework, volunteering, and studying. Men, however, are not as active. Men are spending time exercising, watching television, partying, and playing video games. Both sexes are computer literate and interested in the Internet.

To communicate with 18- to 24-year-olds, one must go to where they are. This age group is commonly reached through radio, cable television, magazines, and the Internet. Also look to bars, community events, coffeehouses, sports venues, concerts, movie theaters, and college and alternative newspapers. The 18- to 24-year-old age is a time to test new independence. Colleges are great places to tap into young adults via their numerous communication channels such as clubs, fraternities, sororities, student housing, health clinics, free speech areas, and on-campus entertainment.

Look for new ways to engage young adults, using new messages and new messengers. A 1999 Yale University assessment of undergraduates' attitudes toward smoking found that 98 percent of respondents considered themselves knowledgeable about adverse health consequences of smoking. If young adults already know the health effects of tobacco use, what else can you give them? Look for new ways to get young adults to think about tobacco and tobacco companies' roles in society, such as environmental concerns, transnational issues, racial targeting, gender targeting, social justice, and corporate imperialism. Be honest and contemporary with your messages and program design.

A national study of US college students, conducted by Harvard School of Public Health, found predictors of smoking that represent important implications for health education and promotion among college populations. Several lifestyle choices predicted smoking status, with the following increasing the likelihood of a student being a smoker:

- Considering athletics to be not very important;
- Considering religion to be not very important;
- Endorsement of parties as important or very important;
- Being a member of a fraternity or sorority;
- Participating in current use of marijuana and binge drinking;
- Having two or more sex partners in the previous month; and
- Reporting unhappiness with life.

Students who were not involved in the productive aspects of university life and who were dissatisfied with their educational experience were more likely to be smokers. The likelihood of smoking was greatly increased among students who engaged in high-risk behaviors.

A striking difference in smoking rates has long existed between college-bound and noncollege-bound high school seniors. For example, data from the Monitoring the Future National Survey for 1999 showed that smoking a half-pack or more per day was nearly two and one-half times as prevalent among the noncollege-bound seniors (23 percent versus 10 percent). Among respondents of college age (one to four years past high school), those not in college show the same dramatically higher rate of smoking compared to that found among those who are in college, with half-pack-a-day smoking standing at 23 percent and 11 percent, respectively.

In all approaches for working with 18- to 24-year-olds and in all locations, include persons within the age group in development of materials and implementation of the program. Promising approaches include:

- Reaching out to the community-at-large through entertainment, media, bars, worksites, and special events.
- Reaching out to non-campus based organizations or locations that serve the age group. These organizations/locations might include Job Corps, the military, family-based and faith-based organizations, law enforcement, young parents, employers, community centers, cantinas, coffeehouses, or employment centers.
- Framing the issue on college campuses and linking with various organizations interested in social justice, environmental concerns, transnational issues, racial targeting, gender targeting, corporate imperialism, and student services.

II. GENERAL GRANT APPLICATION INFORMATION

A. Eligibility Requirements

1. California public or private non-profit organizations, including local health departments, are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS) classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix B and Appendix C.
2. State of California agencies, other than state universities, colleges, and community colleges are not eligible for these funds.
3. Funding for this RFA is general fund money from the Governor's budget. Therefore, local health departments are **not** subject to Health and Safety Code Section 104440 and do **not** need to be a member of a consortium of two or more community-based organizations or non-profit agencies to apply for funding.
4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, during the term of the grant, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the grant period, or during the term of the grant, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification is required on Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

B. General Grant Information

1. Approximately \$6.5 million per year is expected to be available for this RFA to fund competitive community grants from appropriations in fiscal years (FY) 2001-02, 2002-03, and 2003-04. Funding is contingent on the availability of anticipated additional FY 2001-02 and subsequent FY funds. The actual funding level for each FY will be known when each annual State Budget is signed by the Governor. There is no guarantee that funding will be available.
2. Grant awards are for a three-year period beginning July 1, 2001 and ending June 30, 2004. **Applications must be for the entire three-year period.** CDHS/TCS will have the option of renewing the grant for an additional two years

if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.

3. Grant awards are expected to average a total of \$450,000 to \$900,000 for the entire grant period depending upon the scope, quality, and quantity of the types of activities proposed.
4. CDHS/TCS anticipates funding a total of 20 to 30 tobacco control projects through this competitive community RFA process.
5. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. The CDHS/TCS waiver of any immaterial defect(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.
6. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

C. Application Submission Requirements

1. Letter of Intent

For purposes of planning the review process, all prospective applicants are to submit a letter notifying CDHS/TCS of the intent to submit an application. **One (1) signed letter of intent should be sent by March 23, 2001.** The letter of intent must be submitted on the applicant's letterhead and state the following: the name and number of the RFA under which the application will be submitted, the estimated budget request, and the CDHS/TCS priority program area(s) and target population(s) to be addressed. E-Mail documents will not be accepted.

Mail or fax the letter of intent to:

Tobacco Control Section
ATTN: Gloria Marquez
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320
FAX # (916) 327-5424

Clearly indicate **"Tobacco Control Interventions Targeting Young Adults," RFA # TCS-01-101** on the outside of the mailing envelope or FAX transmittal sheet.

2. Application

NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information and to verify any references named in the application. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

Submit one signed original (clearly marked "original"), six (6) copies of the entire application, and six (6) additional copies of the Narrative/Scope of Work Summary (refer to Section IV, Application Requirements and Instructions). Clearly indicate **"Tobacco Control Interventions Targeting Young Adults, RFA # TCS-01-101"** on the outside of the mailing envelope. **Applications must be received by 5 p.m., Thursday, April 12, 2001, at CDHS/TCS.**

- FAX and E-mail documents will not be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline. No exceptions will be made.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received.
- Postmarks will not be accepted as proof of timely delivery.
- No exceptions will be made.

Deliver completed applications to CDHS/TCS:

**Regular Mail
(U.S. Postal Service):**

Diane Hightree
Tobacco Control Section
Department of Health Services
P.O. Box 942732, MS 555
Sacramento, CA 94234-7320

**For hand or overnight delivery
(UPS or FedEx):**

Diane Hightree
Tobacco Control Section
Department of Health Services
601 North 7th Street, MS 555
Sacramento, CA 95814

CDHS/TCS Phone Number:
(916) 327-5425

*** See **Appendix E** for directions to CDHS/TCS. ***

3. RFA Bidders' Conference

A RFA Bidders' Conference is scheduled for the purpose of answering questions directly related to the RFA requirements. Technical assistance regarding programmatic content will not be available.

***BIDDERS' CONFERENCE
Thursday, March 15, 2001
9 a.m. – 12 p.m.
Department of Health Services
601 North 7th Street
Continental Plaza Auditorium
Sacramento, CA 95814***

D. Application Review Process

1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received by CDHS/TCS by 5 p.m. on Thursday, April 12, 2001, will be reviewed for compliance with the requirements provided in this document.

NOTE: Applications that do not comply with the requirements will be considered non-responsive and excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting the application prior to the peer review. LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.

2. RFA Review

Each application that complies with the mandatory requirements will be evaluated and scored by a peer review committee on a scale of 0 to 100 points. Applications receiving a score of 75 points or more will be considered for funding depending upon the availability of funds and non-duplication of local, state, or national tobacco control initiatives. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative/Scope of Work Summary	20 points
Coordination	10 points
Applicant Capability	15 points
Scope of Work and Evaluation	40 points
Budget and Budget Justification	<u>15 points</u>
	100 points

3. Review of Applicant Performance

As part of the final selection process, CDHS/TCS may consider an applicant's performance under prior grants, contracts, or cooperative agreements with CDHS/TCS. This may include, but is not limited to, completing contract deliverables, timely and accurate submission of progress reports and evaluation reports, timely and accurate submission of invoices and fiscal documentation, a review of financial and programmatic audits, consistent use of PARTNERS (CDHS/TCS Communications Network), and participation in CDHS/TCS conferences, trainings, and teleconferences. CDHS/TCS reserves the right to reject any application with a passing score based on an applicant's inadequate performance in prior grants, contracts, cooperative agreements, or subcontracts with CDHS/TCS.

4. Notification of Decision

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDHS/TCS, the consensus review tool summary page for their application, which provides the score and overall strengths and weakness of their application.

5. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed Scope of Work, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work may commence.

CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work, Budget, Budget Justification and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

In the event that CDHS/TCS is unable to execute a contract with the initial successful agency, CDHS/TCS reserves the right to continue the evaluation of the applications and select the application that most closely meets the requirements specified in this RFA, and that received a passing score of at least 75 points.

CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components if another agency funds the applicant to perform similar activities submitted under this RFA or if the proposed activities duplicate the activities or roles of other local, state, or national objectives.

E. Appeals Process

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late, non-compliant, or are incomplete. Applicants may not appeal their funding level. Letters appealing the final application selection must be received **no later than 5 p.m. on May 10, 2001, at the address indicated below. Electronically transmitted documents WILL NOT BE ACCEPTED.**

Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee
Division of Chronic Disease and Injury Control
Department of Health Services
P.O. Box 942732, MS #504
Sacramento, CA 94234-7320
Fax number: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant and then come to a decision, either based on the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. Tentative Timelines

March 1, 2001	Release of RFA
March 15, 2001	Bidders Conference: Sacramento 9 a.m. – 12 p.m.
March 23, 2001	Letters of Intent due by 5 p.m.
April 12, 2001	Applications due by 5 p.m.
May 2, 2001	Award decisions announced
May 10, 2001	Appeals due by 5 p.m.
May 15, 2001	Appeal Hearings
July 1, 2001	Contract period begins
June 30, 2004	Contract period ends

III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what needs to be changed in the budget. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.
2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.
3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the Scope of Work or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the Scope of Work. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Scope of Work, the grantee must contact CDHS/TCS to discuss the issue and request a Scope of Work revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**
4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.
5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents, payroll records, including signed timesheets, etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.
7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.
8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing \$5,000 or more. Three (3) competitive bids may be required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.
9. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.
10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey, and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.
11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.
12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.
13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix H contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix H carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix L.
15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting, and administrative procedures.
16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. General Requirements

1. **READ ALL INSTRUCTIONS CAREFULLY.** Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.
2. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous tobacco control programs administered by the agency. The responsibility is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.
3. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.
4. Number each page of the application consecutively.
5. The type font size is to be no less than 12 characters per inch.
6. Folders and binders are **not** desired and will be discarded; securely staple the application in the upper left corner.
7. Attachments 1, 4, 6, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow enough time to obtain these required signatures.**
8. Policy Section
The Scope of Work and Budget is to be consistent with the policies and procedures found in the Policy Section of the *Competitive Grantee Administrative and Policy Manual* herein referred to as the Policy Section. The Policy Section is posted on the CDHS/TCS website: www.dhs.ca.gov/tobacco. As you develop your Scope of Work and Budget, please review the Policy Section and pay particular attention to those policies addressing mini-grant programs, incentives, promotional items, sponsorship, and lobbying.
9. Clearly indicate “**Tobacco Control Interventions Targeting Young Adults, RFA # TCS-01-101**” on the outside of the mailing envelope.

B. Organization of the Application

Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

- 1. Application Cover Sheet (Attachment 1)
- 2. Application Checklist (Attachment 2)
- 3. Table of Contents (Attachment 3)
- 4. Narrative/Scope of Work Summary (No Attachment Provided, 15-page maximum)
- 5. Coordination:
 - a. Acknowledgement of Communication Form (Attachment 4)
 - b. Letter from the Project Evaluator
- 6. Applicant Capability – (No Attachment Provided, 10-page maximum, not including d.)
 - a. Program/Evaluation Experience
 - b. Administrative/Fiscal Experience
 - c. Equipment
 - d. Letters of References (3 required)
- 7. Scope of Work and Evaluation (Attachment 5)
- 8. Budget (No Attachment)
- 9. Budget Justification (No Attachment)
- 10. Drug-Free Workplace Certification (Attachment 6)
- 11. Agency Documentation Requirements (Attachment 7)
- 12. Proof of Non-Profit Status (No Attachment)
- 13. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

NOTE: ➤ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

C. Application Criteria and Instructions

1. Application Cover Sheet (Attachment 1)

Item 1: Enter the legal name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located. Enter the name of the primary person to be contacted regarding this application, the phone number, the fax number, and e-mail. Enter federal identification number of the applicant.

Item 2: The grant term, **7/01/01 to 06/30/04**, has been entered.

Item 3: Enter the Budget amount requested for the entire grant term.

Item 4: Indicate the location/geographic coverage of the project.

Item 5: Check one or more of the **priority areas** that are included in the application that target young adults.

Item 6: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also print the name and title of this official.

2. Application Checklist (Attachment 2)

The items included on the checklist are **required** to be submitted as part of the application and should be presented in the order noted on this form. If any items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will **not** be reviewed. Complete the attached application checklist to ensure that all application attachments and required components are included.

*As a reminder, you are required to **submit six (6) additional copies of the Narrative/Scope of Work Summary** in addition to the required number of full applications.*

3. Table of Contents (Attachment 3)

Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

4. Narrative/Scope of Work Summary (No Attachment) 15-page maximum = 20 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- Provide relevant demographic, geographic, and political/cultural characteristics of the chosen community(ies) in which the project will be conducted.
- Describe historical, political, economic, and socio-cultural influences that will facilitate or challenge implementation of the project.
- Clearly demonstrate the needs of the target group(s) with respect to tobacco control interventions or the ability of the target group(s)/institution(s) to influence tobacco use among 18- to 24-year-olds by using relevant data

sources, such as needs assessments, asset mapping, key informant interviews, public surveys, and focus group data.

- Clearly demonstrate that young adults 18- to 24-years of age will be included in implementing the proposed project.
- Clearly demonstrate that the proposed project will target/impact 18- to 24-year-olds and will do at least one of the following: 1) reach out to the community-at-large through entertainment, media, and special events; 2) reach out to non-campus based organizations or locations that serve the age group; or 3) frame the issue on college campus(es) to get young adults to think about tobacco and tobacco companies' roles in society and link with various organizations interested in social justice, environmental concerns, transnational issues, racial or gender targeting, corporate imperialism, or student services.
- Clearly demonstrate coordination with CYAN, lead agency for projects targeting 18- to 24-year-olds, to include at a minimum: 1) participation in one to two annual statewide advocacy events; 2) participation in local tobacco control trainings provided by CYAN; and 3) attendance at a California-based National Conference on 18- to 24-year-old advocacy.
- Summarize each objective and specify outcomes to result from interventions.
- Include a strong rationale for the interventions chosen that reflects the current literature and empirical data.
- Provide reasonable, realistic, and appropriate evaluation plans for each objective.

Instructions

Using no more than 15 pages, prepare a Narrative/Scope of Work Summary section that provides the following information:

- a. Describe the relevant demographic, geographic, and political/cultural characteristics of your community, such as: 1) racial/ethnic composition of your community; 2) major population centers; 3) urban/rural factors; 4) major media outlets; and 5) community attitudes toward tobacco.
- b. Describe the historical, political, economic, and socio-cultural influences that will facilitate or challenge the implementation of the proposed project and proposed methods to overcome challenges.
- c. Describe the group(s) to be served, utilizing relevant data to describe the populations' needs with respect to tobacco control issues in the community or the ability of the group(s)/institution(s) to influence tobacco use by

18- to 24-year-olds. It is important to clearly demonstrate the populations' need for tobacco control interventions by citing scientific findings specific to that population to justify the importance of the proposed activities. Information provided from local needs assessments, asset mapping activities, key informant interviews, public surveys, and focus group data are highly desirable.

- d. Describe how young adults 18 to 24 years of age will be included in implementing the proposed project.
- e. Describe how the proposed project will target/impact 18- to 24-year-olds and will do at least one of the following: 1) reach out to the community-at-large through entertainment, media, and special events; 2) reach out to non-campus based organizations or locations that serve the age group; or 3) frame the issue on college campus(es) to get young adults to think about tobacco and tobacco companies' roles in society and link with various organizations interested in social justice, environmental concerns, transnational issues, racial or gender targeting, corporate imperialism, or student services.
- f. Describe how the proposed project will coordinate with CYAN, lead agency for projects targeting 18- to 24-year-olds, to include at a minimum: 1) participation in one to two annual statewide advocacy events; 2) participation in local tobacco control trainings provided by CYAN; and 3) attendance at a California-based National Conference on 18- to 24-year-old advocacy.
- g. "Bring to life" the tobacco issues and experiences facing your target group and community in this section. While State and Federal data regarding tobacco control issues is needed when conceptualizing intervention strategies, we are particularly interested in learning more about the unique aspects of your community and target group in order to place the proposed project into context.
- h. Summarize the proposed Scope of Work by priority area. For each priority area addressed in the application, state:
 - The interventions and expected outcomes to result from the interventions.
 - The rationale for the chosen intervention (e.g., explain why you selected the strategies and approaches and why you think they are appropriate and will be successful within the target population).
 - The evaluation design and methodology (e.g., what will be measured and how?).

5. Coordination = 10 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- Demonstrate that adequate communication took place with relevant agencies and groups regarding the Scope of Work activities.
- Demonstrate non-duplication and coordination with existing projects.
- Demonstrate evidence of the involvement of an evaluator in the development of the Scope of Work objectives and evaluation plan.

Instructions

Follow the instructions for completing both a and b below.

a. Acknowledgement of Communication Form (Attachment 4)

The purpose of the Acknowledgement of Communication Form is to confirm that applicants discussed their application with appropriate Local Lead Agencies (LLAs), Regional Community Linkage Projects, Statewide Projects, Ethnic Networks, Competitive Grantees, CYAN, and other local projects working with young adults to facilitate coordination and avoid duplication. Applicants should discuss with those involved the similarities with existing efforts, joint activities (e.g., trainings, advocacy activities), and potential contamination of control groups.

The Acknowledgement of Communication Form is to be completed by each LLA and Regional Community Linkage Project that will be part of the service area for the proposed project and by CYAN, designated as the lead agency for 18- to 24-year-old projects. In addition, when appropriate, the form is to be completed by the Ethnic Network representing the ethnic group being served and other statewide or local projects for which there is a need to coordinate and collaborate or for which there may be a perception of duplication.

Requests for signatures must occur by March 30, 2001, so Project Directors have time to respond. **Completed forms must be included in the application.** Completed forms sent **separately** from the application will **not** be reviewed.

NOTE: The cities of Berkeley, Long Beach, and Pasadena are also LLAs. A complete list of LLAs, Regional Community Linkage Projects, Statewide Projects, Ethnic Networks, and Competitive Grantees can be found on the CDHS/TCS website: www.dhs.ca.gov/tobacco. CYAN is listed under the fiscal agent, Public Health Foundation Enterprises, Inc.

b. Letter from the Project Evaluator

Applicants must demonstrate participation in the development of the Scope of Work and evaluation plan by an evaluator who has at least three years of experience evaluating local community health projects and experience evaluating community norm change strategies rather than individual behavior change.

Provide a letter from the evaluator describing his/her involvement in the development of the Scope of Work and the evaluation component and his/her experience evaluating community norm change strategies. This letter must include how much time the evaluator spent with the applicant to get the evaluation in place. Every application must include this letter, even if the evaluator is an employee of your agency versus an evaluator hired as a consultant or subcontractor.

6. Applicant Capability (No attachment) 10-page maximum = 15 points

Criteria

Funding preference will be given to agencies that exhibit the following qualifications:

- Demonstrate at least three years previous experience conducting community organizing, community planning, health education and promotion, coalition building, consensus building, advocacy, media, training, and tobacco control activities. This should include development of educational materials, media, and activities that are appropriate in terms of age, literacy level, and cultural sensitivity for the population being served.
- Demonstrate that staff have at least two years of access to and previous experience working with young adults aged 18- to 24-years and the ability to conduct program activities that are appropriate in terms of the culture, language, literacy level, age, and gender specific to that population. If targeting group(s) or institution(s) that may influence tobacco use by young adults, demonstrate two years of staff experience with similar projects impacting 18-to 24-year-olds.
- Demonstrate effectiveness and capacity to provide tobacco education services and serve populations in areas with substantial unmet needs.
- Demonstrate that staff to work on the project have the training, skills, and experiences consistent with the program, evaluation, and fiscal and management needs of the project.
- Demonstrate the ability to start up and begin implementation within six weeks of the contract start date.

- Demonstrate at least two years satisfactory performance with administrative, fiscal, and programmatic management of government grant funds, including timely and accurate submission of fiscal and program documentation, subcontracts, and compliance with all state contract requirements.
- Demonstrate the ability to partially equip the project with office furniture, computers, printers, copy machines, etc., to support staff and program needs.

Instructions

Using no more than ten pages, address program/evaluation, administrative/fiscal, and equipment criteria of the prime contractor and any major subcontractors below.

a. Program/Evaluation Experience

- (1) Describe the applicant's experience in community organizing, community planning, health education and promotion, coalition building, consensus building, advocacy, media, training, and tobacco control activities.
- (2) Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.
- (3) Describe the applicant's experience with the group(s) or institution(s) targeted by this project and your ability to provide culturally appropriate tobacco control services.
- (4) Describe staffs' previous experience working with young adults aged 18 to 24 or group(s)/institution(s) that may influence tobacco use by young adults and their ability to conduct appropriate program activities.
- (5) Describe the qualifications of key program staff (including staff or consultants responsible for the program evaluation). Describe their educational background and previous experience with the types of activities to be conducted such as community organization, community planning, health education, report writing, media advocacy, policy, etc. **Do not attach resumes.**
- (6) If the applicant agency has been previously funded by CDHS/TCS, state three major accomplishments resulting from CDHS/TCS funding, which demonstrate your effectiveness and capacity to provide tobacco control services. Include dates of funding period.

b. Administrative/Fiscal Experience

- (1) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach resumes.**
- (2) Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, i.e., were the grant deliverables accomplished, progress reports and invoices submitted timely, and were fiscal records in good standing?
- (3) Describe the applicant's internal audit history in the past two years. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit. Describe how the agency responded and corrected any audit findings.
- (4) Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references by telephone to confirm the audit history.

c. Equipment

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, i.e., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and d) approximately when the computer equipment was purchased and its availability for use in this project, if funded.

d. Letters of Reference

The applicant must include three (3) letters of reference and attach them immediately following the description of the equipment. Number these letters consecutively as part of the application. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies. No more than three letters will be accepted.

The letters are to be on the reference agency's letterhead and should include:

- (1) The address, telephone number, name, and title of the letter's author.
- (2) A description of the capacity in which the reference worked with the applicant.
- (3) The applicant's ability to work with the community/target population.
- (4) The applicant's experience in community health education, organizing, and planning.
- (5) The applicant's fiscal and administrative ability to manage government grant funds, including submission of reports and general compliance with funding agency policies.

Letters **must not** be sent directly to CDHS/TCS and will not be accepted if they are not a part of the application package. **CDHS/TCS reserves the right, at its sole discretion, to contact references for further information.**

7. Scope of Work and Evaluation (Attachment 5) = 40 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- The Scope of Work demonstrates an understanding of the role community norms have in influencing behavior change regarding tobacco use and reflects a comprehensive, integrated approach to achieve community norm changes by incorporating such methods as coordination and collaboration with other agencies, community mobilization activities, community-level data collection, policy development, paid advertising, media advocacy, training, opinion polls, community education, evaluation, and other methodologies that will lead to community norm change.
- The Scope of Work incorporates the strategies, methods, and communication modes consistent with the principles of working with 18- to 24-year-olds.
- The Scope of Work includes activities that document and publicize the presence of the problem or demonstrates support for an intervention. These may include: prevalence data, surveys of tobacco advertising, key informant interviews, public intercept surveys, telephone surveys, etc.
- Scope of Work activities build the capacity of communities to address tobacco issues and lead to long term, institutionalized change. Activities may include:

spokesperson training, conducting public forums or events, and providing leadership opportunities to youth.

- The Scope of Work presents well-written objectives which identify measurable outcomes expected as a result of the intervention and each objective states:
 - *When the objective is to be achieved;*
 - *Where the objective occurs;*
 - *Who or what is targeted;*
 - *What is to change as a result of the intervention; and*
 - *How much change is to occur (or sets a minimum standard).*
- The Scope of Work contains objectives that are realistic in terms of their appropriateness for the target population and achievable in the time period, yet not overly simple.
- The Scope of Work presents culturally and linguistically appropriate strategies to achieve each objective.
- The Scope of Work uses appropriate magnitude and methods for each objective that are likely to be sufficient in their power to achieve the stated objectives.
- Overall, the Scope of Work provides a well-organized and detailed “road map” of the project that describes:
 - *How much will be done;*
 - *Where activities will occur;*
 - *What will be done (e.g., educational methods, media, data collection methods, incentives, promotional items, etc.);*
 - *Staff, subcontractors, or consultants responsible for the activities;*
 - *Appropriate and reasonable tracking measures; and*
 - *An evaluation plan for each objective.*
- The Scope of Work reflects all elements of the project proposed in the Narrative/Scope of Work Summary.
- The Scope of Work includes process evaluation or “tracking” measures that document program implementation, such as focus groups for educational material development, sign-in sheets, training agendas, meeting minutes, distribution lists, copies of news releases, focus group findings, etc.).
- The evaluation plan for each objective measures and determines the progress made toward achieving each objective in the Scope of Work, and that each outcome achieved was the result of the intervention. This may require setting up intervention and control groups, data collection, allocating resources for staff, hiring consultants, data base development, data entry,

statistical analysis, report writing, and dissemination of the evaluation findings. Some objectives may lend themselves to a case study evaluation design that uses data from sources such as community surveys, key informant interviews, and focus groups.

- The evaluation plan uses a design that is appropriate given the strategies, contract period, target group, and language(s) of the target group.
- The evaluation plan includes the following information for each objective:
1) the amount of expected change or what is being measured; 2) the instruments to collect data; 3) how data will be collected; 4) the location where data will be collected; 5) how many will be measured; 6) how the sample will be selected; 7) the type of analysis to be done; and 8) how the results will be disseminated.

NOTE: An allocation of at least 10 percent of the Project Budget for evaluation and designation of one staff person as the lead on evaluation activities is a **mandatory requirement**. At a minimum, 10 percent of the lead staff person's time must be dedicated toward overseeing and coordinating evaluation activities with CDHS/TCS and any evaluation consultant or subcontractor who may be hired. (This requirement must be evident in the Budget.)

Instructions

a. Guidelines for Completing Scope of Work

- (1) The eight column Scope of Work format must be used by all applicants to ensure consistency for review purposes by CDHS/TCS staff and reviewers. **Plans presented using a format other than that described below will NOT be reviewed.**
- (2) Carefully follow the Scope of Work requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.
- (3) The Scope of Work provides the basis for grant negotiations, and along with the Budget, becomes a legally binding document. The Scope of Work is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved Scope of Work, and any subsequent revision, is incorporated and made part of the grant. The Scope of Work can only be changed with prior approval from CDHS/TCS.

- (4) The Budget and Budget Justification should closely correspond to Scope of Work activities, deliverables, and timelines. For example, if production of a radio ad is described in the Scope of Work, funds should be budgeted for creative development, production, and placement of the ad. If promotional items are to be distributed to store owners, these should be identified in the Scope of Work, Budget, and Budget Justification.

NOTE: When completing the Scope of Work using the template provided, do **not** attempt to number the pages. Although page numbers do not appear on your computer screen, they are automatically tabulated by the template and **appear correctly at time of printing.**

b. Instructions for Completing Scope of Work

Complete the Scope of Work using the following instructions. Refer to Appendix F for sample format. See Attachment 5 for a blank form of Scope of Work. A complete format is also available on the CDHS/TCS website: www.dhs.ca.gov/tobacco.

NOTE: These instructions are not identical to instructions used by CDHS/TCS for previous RFAs. CDHS/TCS is presently designing an on-line Scope of Work format that will not be completed in time for agencies to use to submit applications in response to this RFA. However, CDHS/TCS intends to transfer information from successful applications and negotiated contracts into the online format during late 2001 or early 2002. Therefore, applicants are required to submit their Scope of Work using this more uniform format.

(1) Header Information

The header information must be included on every page. Include your agency name and project name. The contract term is July 1, 2001 to June 30, 2004. The revision date is the date the plan is submitted to TCS (April 12, 2001). Leave the grant number and Progress Report Period blank.

(2) Column #1: Objectives/Activities/Evaluation

(a) **Priority Area** – At the top of the column, state one of the priority areas listed below for each objective. The applicant does not need to address each priority area. Each selected priority area may have more than one objective.

- Counter Pro-Tobacco Influences
- Reduce Exposure to Secondhand Smoke
- Reduce Availability of Tobacco Products
- Increase Availability of Cessation Services

- (b) **Outcome Objectives** – For each of the priority areas you select, present at least one outcome objective. See Appendix G for tips on writing outcome objectives.
- (c) **Primary Objective Designation** – Designate at least two outcome objectives in the Scope of Work to be “Primary Objectives.” Denote the designation of the objective as a “Primary Objective” by placing a (P) at the end of the objective. A “Primary Objective” is one that will be the focus of evaluation resources. You are expected to create a sound evaluation design for these objectives and prepare a final evaluation report using the document, *Tell Your Story: Guidelines for Preparing an Evaluation Report* available on the CDHS/TCS website: www.dhs.ca.gov/tobacco.
- (d) **Activities** – Use an annotated outline format to describe the activities to be conducted to achieve the objective. Describe each activity to be conducted in terms of how much will be done and where the activities will occur. In describing the activities, quantify the amount of work to be performed in order to help justify the budget request. You are encouraged to use ranges. Indicate the length, frequency and number of trainings, presentations, site visits, educational materials, etc. Describe where the activities will occur. Indicate where appropriate, the geographical location or site where activities will occur, e.g., North County, housing projects, retail stores, rodeos, etc.

Activities are to be grouped and organized using the “Major Intervention Categories” listed below as headings. These categories are purposively broad and are a means to organize similar activities. Evaluation activities must be categorized separately after all of the intervention activities under the heading “Evaluation Plan.” The Evaluation Plan will be described on the Scope of Work form. It is not a separate document.

Major Intervention Categories

Coordination/Collaboration Activities
Community Education Activities
Educational Materials Development
Incentive Items
Media Activities
Mini-Grants
Policy Activities
Promotional Items
School-based Education
Sponsorship Activity
Training Activities

Definitions and Examples of Major Intervention Categories

- **Coordination/Collaboration Activities:** Describe who you will coordinate and collaborate with to avoid duplication of effort and maximize your resources. Describe what the activities will consist of. These may include coordinating with the Region, collaborating with other competitive grantees, collaborating with non-Proposition 99-funded groups, etc.

Example: Conduct 3-5 meetings or telephone conference calls with other TCS funded projects in the county to coordinate observation of rodeos, fairs, and other special events to identify tobacco company sponsorship and to share results.

- **Community Education Activities:** Describe community education efforts such as advocacy activities, presentations, outreach, theater, counseling, small group education, letter writing, conducting public hearings or forums, filing complaints with government officials, etc.

Example: Conduct 3-5 presentations of 15 minutes to 1 hour in length to business groups and community groups such as the Rotarians regarding the issues of tobacco industry sponsorship and advertising at community events.

- **Educational Materials Development:** Describe educational materials development. This does not include development of advertisements. It refers to posters, pamphlets, curriculum, videos, flip charts, etc. Prior to proposing to develop any educational or media materials, check with the Tobacco Education Clearinghouse of California (TECC) to determine if a piece currently exists that could be used or could be modified for use. In the description of the educational material, describe development process, pilot testing/evaluation, printing and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced.

Example: Produce 10 copies of a 10-12 minute video exposing tobacco industry sponsorship in rural areas. The target audience will be key opinion leaders belonging to business and community organizations. Create objectives for the video and then develop a draft script that will be reviewed by coalition members, Project SMART Money Workgroup Members, and others knowledgeable of tobacco industry sponsorship. Work with other rural areas to identify events with tobacco sponsorship or advertising include in

video taping. Identify, interview, and tape 2-3 rural Fairground Board members who supported policies to turn down tobacco sponsorship funds. Develop rough-cut of video. Get review and comments from 3-4 key opinion leaders and then finalize video. Dissemination will be in county only for use at presentations and to TECC.

- **Incentive Items:** Describe incentive items. Tobacco use prevention projects may use incentives to reinforce or motivate a behavior change. Incentives are only to be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use for incentives and how they will be used. If you do not know the exact incentive item you will use, list possible examples, e.g., gift certificates, mugs, t-shirts, etc.

Example: Provide \$20 music store gift certificates to youth who participate in 2 days of youth tobacco surveys, at the completion of the second day.

- **Media Activities:** Describe media activities. This includes development of print, outdoor, or electronic advertisements, public relations activities, press events and other activities designed to either place your message in the media or obtain coverage of your message by the media (newspapers, radio, television reporters). Prior to proposing to develop any media materials, check with TECC to determine if a piece currently exists that could be used or could be modified for use. In the description of advertisements to be developed, describe development process, pilot testing/evaluation, production and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. For public relations activities, press events, describe and quantify the nature of the event.

Example 1: Check with TECC to obtain samples of other ads developed targeting secondhand smoke exposure in the home and car. Develop, produce and place 3-9 newspaper print ads exposing the danger of secondhand smoke exposure in the home and car. The target audience for the ads will be parents and key opinion leaders. Work with a local advertising company to develop ad concepts. Run ads through appropriate focus groups to ensure that the message is understood and appropriate. Place 1/8 to 1/4 page ads in the county newspaper.

Example 2: Conduct one press conference for mainstream and ethnic radio, television, and print media to orient reporters and

provide interviews regarding the significance of a recent local study highlighting the numbers of infants and children in the local health jurisdiction who are exposed to secondhand smoke in their family car. The evaluator, Health Officer, and Project Director will present findings at the press conference. Twenty-five press packages will be prepared for distribution in Spanish, English and other appropriate languages. The press packet will contain a description of the survey and the major findings, a sample press release, an advisory to parents, as well as background information on the health effects of secondhand smoke exposure on infants and children.

- **Mini-Grants:** Describe those grants that are awarded for short-term projects that support and enhance achievement of objectives. Describe the number to be awarded and the general type of projects they will be awarded for. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about mini-grants.

Example: Award 3-5 mini-grants through a competitive process to conduct educational activities and booths at sporting and community events to promote smoke-free homes and cars.

- **Policy Activities:** Describe those activities that relate to the development, facilitation and adoption of voluntary or legislated policies.

Example 1: Identify and review sample tobacco industry conflict of interest policies. Draft a sample policy and an educational kit explaining the issues with accepting tobacco industry funds.

Example 2: Work with 6-8 food programs, abused women's shelters, and AIDS programs to adopt a policy prohibiting the acceptance of tobacco industry funds by the agency.

- **Promotional Items:** Describe promotional items: promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, magnets, inexpensive visors, etc. If you do not know the exact promotional items you will use, list possible examples.

Example: Give away 5,000 helium balloons with an anti-tobacco use message on them at rodeo events where there is tobacco industry sponsorship or advertising.

- **School-based Education:** Describe school-based educational efforts that take place in pre-schools, elementary schools, middle schools, high schools, vocational schools, colleges, universities or home schools. Describe efforts such as presentations, youth recruitment, assessment activities, special events, campaigns, advocacy activities, small group education, etc. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about working with schools.

Example: Conduct an assessment of 2-3 junior college campuses in Sacramento and Placer Counties of tobacco-related indicators using the CYAN assessment tool and protocols.

- **Sponsorship Activity:** Describe sponsorships to be awarded that will counter the tobacco industry's pro-tobacco use messages in the community and that will develop community goodwill for anti-tobacco educational, media, and policy activities. Describe the number to be awarded and the types of events or programs that will be sponsored. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about sponsorship activities.

Example: Award 9-12 sponsorships to local sports teams and events promoting smoke-free messages. In return for the sponsorship, the program will obtain a large banner promoting the team/event as smoke-free, publicity promoting the smoke-free message, our program's name as a sponsor, and disseminating educational materials or promotional items with a smoke-free message.

- **Training Activities:** Describe training activities. These are activities designed to train others in the development of a new skill. Training activities may target such things as training coalition members and volunteers in how to conduct data collection activities, target tobacco clerks on how to check identification or Women, Infants, and Children Supplemental Nutrition Program workers on how to assess secondhand smoke exposure. Training activities are more extensive than presentations and involve the use of a curriculum with specific learning objectives.

Example: Provide 3-6, 1 ½ hour trainings to youth 15 to 16 years of age on how to participate in a youth tobacco purchase survey. The training will include parental permission, safety issues, data collection, and dealing with conflict. The training will include

didactic and role playing sessions. A training curriculum will be adapted from the TCS Youth Tobacco Purchase Survey Protocol Manual.

(e) **Evaluation Plan:** Present the Evaluation Plan immediately following the outline of the intervention activities under the heading, "Evaluation Plan." The Evaluation Plan is to be presented on the Scope of Work, Part I form. **Do Not Create a Separate Document.**

- 1) At the beginning of the Evaluation Plan, state what is expected to change or happen as a result of the interventions.

Example: There will be a minimum compliance rate of 85% with Labor Code Section 6404.5 among Korean businesses.

- 2) Describe what outcomes will be measured. Identify items such as attitudes, knowledge, beliefs, behaviors, cessation quit attempts, opinions, policy enactment, number of ads, illegal tobacco sales, etc.

- 3) Describe the Evaluation Design

- a. General Evaluation Design: Select and state one of the following three General Evaluation Designs:
 - Experimental with Randomized Groups
 - Quasi-Experimental with Non-equivalent Groups
 - Non-Experimental
- b. Describe the Intervention Group: State, "Intervention Group" and then provide the number of units (e.g., communities, agencies, stores, and individuals) to receive the intervention and that will be measured. This information may be a range, e.g., 50 to 75 stores. Clearly indicate whether the intervention group will be an "Intact Group" for the purposes of the evaluation design, e.g., the exact same units are measured each time a measurement is taken.
- c. Describe the Control Group: State, "Control Group" and then provide the number of units (e.g., communities, agencies, stores, and individuals) that will not receive the intervention but that will serve as the comparison, or control group. This information may be a range, e.g., 50 to 75 stores. Clearly indicate whether the control group will be an "Intact Group" for the purposes of the evaluation design, e.g., the exact same units are measured each time a measurement is taken. State "No Control Group" if you have no control group.

- d. Measurements: Select and state one of the following three types of measurements:
- Post-test only
 - Pre-and Post-Test
 - Longitudinal

4) Data Collection Instruments:

- a. State, "Data Collection Instruments" and then describe all the instruments that will be used in the evaluation of the interventions. These may include written survey, key informant interview questionnaire, observational checklist, etc. If you are using or adapting the instrument from a particular source, please describe the source such as Operation Storefront.

Examples: Adapted Operation Storefront observational survey; semi-structured interview instrument including open-ended questions on primary reasons for being able to or not able to begin or sustain smoke-free pledge; telephone survey to be developed; California Youth Tobacco Survey instrument.

b. Data Collection:

- 1) Methods: Describe the methods that will be used to collect data. These may include focus groups, in person surveys, mail, observation, telephone, paper and pencil, photograph or video, etc.
- 2) Where Data is Collected: Describe where the data will be collected. This may include college campuses, homes, tobacco retail outlets, rodeos, clinics, pharmacies, shopping malls, stand alone bars, the names of particular communities, etc.
- 3) Sample Selection: For each data collection method, describe how the sample will be selected. The selection method(s) may include simple random, random clusters, convenience, etc.

Example: A master list of all bars and restaurants with bars in each city and unincorporated area of the County will be prepared. A simple random sample of bars will be drawn with over-sampling in Vallejo and Dixon. All restaurants with bars will be included in the observational survey.

- c. Type of Analysis: Describe what type of analysis will be done. The type of analyses may include comparisons over time, comparisons with other groups, comparisons with a control group, etc.
- d. Dissemination of Results: Describe how you will disseminate the evaluation results. This may include presenting or publishing your finding to a professional journal, local media or city council, use for public relations or media advocacy, posting results on PARTNERS, etc.

(3) Column #2: Copyright ©

Indicate if the activity involves development of a copyrightable product such as a brochure, poster, ad, manual, etc. by placing a copyright sign (©) in this column.

(4) Column #3: Program Deliverable Percentage

For each program deliverable, indicate a percentage that reflects the programmatic value or percent of effort for deliverables only. The program deliverable percentage reflects a combination of staff and budget resources to complete the deliverable. A program deliverable reflects products and services developed or conducted under the contract. The deliverable is inclusive of all the coordination and collaboration conducted in order to produce the deliverable. Do not assign a percentage to activities that describe coordination, collaboration, or planning only. For example, do not assign a percentage to coordination/collaboration and planning activities that lead to the accomplishment of a press event or educational training. The press event or educational training is the program deliverable. The total of the percentages assigned in the Scope of Work may not be greater than 100 percent and no program deliverable may be assigned a percentage of less than 0.5 percent.

At the end of the term of this Scope of Work, the program deliverable percentage will be used to help ascertain and calculate the maximum amount of funding the grantee should receive, based upon the completion of program deliverables. If any program deliverable is not completed satisfactorily or in its entirety, the program deliverable percentage will be used to determine a reduction in payment to the grantee.

(5) Column #4: Start/End Date

List the progress report periods during which each program and evaluation activity is expected to start and end. Be sure to state the

progress report period in which you will begin to work on the development of the data collection instrument(s) and the progress report period in which the data collection instrument(s) will be finalized and the progress report period in which data collection will begin and end.

Use only the progress reporting periods below as the timeframes in this column. For example, 07/01 to 12/02. The progress report periods are as follows:

- **07/01-12/01**
- **01/02-06/02**
- **07/02-12/02**
- **01/03-06/03**
- **07/03-12/03**
- **01/04-06/04**

(6) Column #5: Who is Responsible

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Evaluator. These positions must correspond to the positions used in the Budget Justification. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g., city officials, schools, etc.).

(7) Column #6: Tracking Measures/Process Evaluation

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs, and press releases, to more complex measures such as focus group findings, survey instruments, and survey results. These measures verify that the activity occurred, provide supporting documentation for the progress report, and represent the process evaluation.

(6) Column #7-8: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

8. Budget Section (Budget and Budget Justification = 15 points)

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

Criteria

Funding preference shall be given to applicants that:

- Submit reasonable Budgets for the proposed quality and quantity of activities in the Scope of Work;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- Propose salaries consistent with comparable State civil services positions; and
- Provide the level of detail requested in the Budget and Budget Justification instructions.
- Allocate at least **10 percent** of the overall Budget toward evaluation of its program and designate one staff person as the lead on evaluation activities.
- Allocate, at a minimum, 10 percent of the lead person's time toward overseeing evaluation activities, including the coordination of an evaluation consultant or subcontractor that may be hired.

Instructions

a. Budget Instructions

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed Scope of Work. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is July 1, 2001 through June 30, 2004. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix I for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of eight (8) categories: A. Personnel Costs; B. Fringe Benefits; C. Operating Expenses; D. Equipment Expenses; E. Travel/Per Diem,

and Training; F. Subcontracts and Consultants; G. Other Costs; H. Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget and Budget Justification.

b. Budget Justification Instructions

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the Scope of Work, and 2) helps evaluate the Scope of Work and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar. The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix J for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as program intensity fluctuates.

Personnel Costs

This category of the Budget Justification provides detail on the following:

(1) Position Title:

List all classifications or functional titles for positions for this grant. Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

(2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix K, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification shall be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

(3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

(4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-monthly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = "X" number of hours per year

(5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix J, Budget Justification.

NOTE: The total salary for each position has two restrictions.

(a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

(b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

(6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

(7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

Fringe Benefits

Fringe benefits do not include employee leave, i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training. Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range, e.g., 20-25 percent.

If applicable, identify the positions that do not receive benefits with an asterisk (*).

Total Personnel Expenses

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

Operating Expenses

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each line item.

Operating Expenses include, but are not limited to, the following line items:

(1) General Expenses:

- a) Office Supplies -- Office supplies refer to general supplies such as pens, pencils, paper, etc.
- b) Postage -- Postage includes all mailing expenses.
- c) Duplicating -- Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

(2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally \$20-\$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS and the purchase of a modem may be budgeted in the Equipment category.

(3) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc. for larger jobs and is usually completed by outside vendors.

(4) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus "reasonable" square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

2 staff X 150 sq. ft. X \$1.00/sq. ft. X 24 mo. = \$ 7,200 (Yr. 1 and 2)

2 staff X 150 sq. ft. X \$1.25/sq. ft. X 12 mo. = 4,500 (Yr. 3)

Total for 36 mo. = \$11,700

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

(5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount.

NOTE: "Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase" of equipment is not allowed.

(6) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual Financial and Compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to your business' total revenue. For example, if this grant represents 10 percent of your business' total revenue, then this grant would be responsible for no more than 10 percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the FY in which you operate (e.g., July 1 through June 30).

This Audit Expense line item plus the Indirect Expenses line item cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).

Audit costs may be budgeted in this line item **or** in Indirect Expenses.

Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

(7) Total Operating Expenses:

Add all Operating Expense line items to compute the Total Operating Expenses for each FY and the grant term.

Equipment Expenses

Equipment expenses include the purchases of all computer (software and hardware) and office equipment. Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS. CDHS/TCS will also consider the information that was presented in the Applicant Capability section of this application when determining approval.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, easels, cameras, etc. Refer to Policy Section, Chapter 400 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on equipment purchases.

List all equipment purchases, quantify each item, and provide the approximate dollar amount. Justify the need for each equipment purchase.

Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support the Scope of Work. Travel expenses are reimbursed at the current State Department of Personnel Administration rates. Please refer to Appendix L, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

(1) Local Travel/Training:

a) Local Travel:

Local travel expenses include airfare, meals, lodging, incidental expenses and mileage. This line item may include mileage for project-related activities (e.g., to conduct local surveys of in-store tobacco advertising, to attend local, Regional, or Ethnic Network meetings or trainings, etc.).

Provide the dollar amount requested for local travel that is directly related to completion of the Scope of Work.

b) Local Training:

Local training costs include registration fees for staff development or any other additional training events for professional, clerical, and administrative personnel; advisory board members; youth volunteers; committee members; etc., necessary for the completion of activities in the Scope of Work. Trainings may include courses on computer software, meeting facilitation, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend. Provide the dollar amount requested for local training costs that are related to completion of the Scope of Work.

(2) CDHS/TCS Travel and Training/Conferences:

a) General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., TECC, statewide public relations contractor, CYAN, BREATH, Ethnic Networks, and others) typically conduct 12-14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects; provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy; and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually one to two days. A statewide conference may be two to three days.

Training/Conference Topics: Topics generally cover a broad range such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions, smoke-free bars, alternative tobacco, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is usually offered only once. Some other trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and another in Southern California (Los Angeles, Orange, or San Diego counties).

b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the Project Director, the Project Evaluator, and the person who is responsible for fiscal matters. This event occurs in Year 1 only and is repeated in two different locations, usually one each in Northern California and Southern California.

Budget \$250 per person (\$125 for travel/per diem and \$125 for registration) for three people to attend.

(2) Project Directors' Conference/Evaluation Showcase:

This event is typically a three-day conference for one to three program and evaluation staff/consultants that occurs in alternate years. Budget this expense in fiscal years one and three.

Budget \$1200 per person (\$1000 for travel/per diem and \$200 for registration) for a maximum of two people to attend. The \$1000 for travel/per diem includes two to three nights of lodging and airfare.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at 5-10 trainings/conferences per year. Each is usually one to two days for one to two program/evaluation staff.

Budget \$375 per person (\$250 for travel/per diem and \$125 for registration) for each person to attend 5-10 trainings/conferences.

Subcontracts and Consultants

Include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing \$5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are conducting local surveys, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the Scope of Work.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as program evaluation, group facilitation, in-service training, program design and development, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the Scope of Work.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix K, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each.

Other Costs

(1) Educational Materials:

This line item includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, etc., necessary for program activities. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on educational materials.

Provide a list of educational materials and the total amount requested. Do not itemize; use broad categories and estimates only.

(2) Promotional Items and Incentives:

Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on promotional items and incentives.

(a) Promotional Items:

These are inexpensive miscellaneous items (e.g., buttons, key chains, stickers, posters, etc.) given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community. The use of promotional items must be referenced in the Scope of Work.

Provide a list of promotional items and the total amount requested. Do not itemize or give details of quantity, cost, or subtotal for each item.

(b) Incentives (Not To Exceed \$50 Per Participant Per Year):

These are rewards or awards given to intervention participants to reinforce a positive behavior change. Incentives cannot exceed \$50 worth of merchandise per person per year. **Cash rewards or awards are not permitted.** The use of incentives must be referenced in the Scope of Work.

Provide a list of incentives and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

(3) Media, Public Relations, and Advertising:

This line item may include the development, purchase, or placement of Public Service Announcements (PSAs), paid advertisements on radio, TV, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, TV, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category. All planned media must be referenced in the Scope of Work.

Provide a list of the planned media that supports activities in the Scope of Work and the total amount requested.

(4) Additional Expenses:

This line item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific. e.g., fees for renting a meeting room to conduct training or renting a booth at a health fair, etc. All expenditures for items listed under Additional Expenses must also be referenced in the Scope of Work.

Provide justification and the amount requested for each additional line item.

(5) Total Other Costs:

Add all Other Costs line items to compute the Total Other Costs for each FY and the grant term.

Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

Total Expenses

Add Personnel Costs, Fringe Benefits, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Subcontracts and Consultants, Other Costs, and Indirect Expenses to compute Total Expenses for each FY and the grant term.

Evaluation Synopsis

Provide a brief synopsis at the end of the Budget Justification (after Total Expenses) on the ten (10) percent requirement for evaluation activities. Include the following in the evaluation synopsis:

- (1) a list of all line items that will have any evaluation expenses;
- (2) the dollar amount of the evaluation expenses per line item; and
- (3) the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation budget.

- (1) at least ten (10) percent of a lead staff person's time is required to oversee and coordinate the evaluation activities; and
- (2) the expenses for an evaluation consultant or subcontractor; and any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

Example of synopsis:

The amount of \$400,000 is requested for this grant term. Therefore, a minimum of \$40,000 is budgeted to meet the ten (10) percent evaluation requirement.

(1) Personnel:

Project Director: Budget \$8,400 for 10 percent of the Project Director's time for the 36 months of the grant term;

Temporary Help: Budget \$1,500 (approximately 188 hours x \$8.00 per hour) for temporary help to input data;

(2) Operating Expenses: Budget \$3,000 for dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.); and

(3) Subcontracts and Consultants: Budget \$27,100 to hire an Evaluation Consultant for approximately 620 hours.

10 percent Evaluation Allocation = \$40,000.

9. Additional Required Forms

The following documents require completion/signature by the person authorized to bind the application agency.

1. Drug Free Workplace Certification (Attachment 6)
2. Agency Documentation Requirements (Attachment 7)
3. Proof of Non-Profit Status (No Attachment)

California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices B and C).

4. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

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**APPLICATION COVER SHEET:
TOBACCO CONTROL INTERVENTIONS TARGETING YOUNG ADULTS**

1. Applicant Information:

Applicant Name _____

Project Name _____

Mailing Address _____

City _____ Zip _____

County _____

Contact Person's Name _____

Telephone (_____) _____ FAX (_____) _____

E-mail _____

Federal Identification Number _____

2. Term of Grant: From 07/01/01 to 06/30/04

3. Total Budget Amount Requested for entire grant term of 07/01/01 to 06/30/04: _____

4. Location/and Geographic Coverage of Project: _____

5. Check one or more of the priority areas included in application that target young adults:

☐ Reduce Secondhand Tobacco Smoke
☐ Reduce Availability of Tobacco Products

☐ Counter Pro-Tobacco Influences
☐ Increase Availability of Cessation Services

6. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc).

Signature
of Agency Representative _____ Date _____

Print Name and Title _____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

<u>Attachments and Components</u>	<u>Check Mark</u>
• One Original Application	_____
• 6 copies of the Application	_____
• 6 copies of the Narrative/Scope of Work Summary	_____
➤ • Application Cover Sheet (Attachment 1)	_____
• Application Checklist (Attachment 2)	_____
• Table of Contents (Attachment 3)	_____
• Narrative/Scope of Work Summary (No Attachment, 15 page limit)	_____
• <u>Coordination</u>	
➤ a. Acknowledgement of Communication Form (Attachment 4)	_____
b. Letter from the Project Evaluator	_____
• <u>Applicant Capability</u> – (No Attachment, 10 page limit, not including Letters of Reference)	
a. Program/Evaluation Experience	_____
b. Administrative/Fiscal Experience	_____
c. Equipment	_____
d. Letters of Reference (3 required)	_____
• Scope of Work and Evaluation (Attachment 5)	_____
• Budget (No Attachment)	_____
• Budget Justification (No Attachment)	_____
➤ • Drug-Free Workplace Certification (Attachment 6)	_____
➤ • Agency Documentation Requirements (Attachment 7)	_____
• Proof of Non-Profit Status (No Attachment)	_____
➤ • Certification of Non-Acceptance of Tobacco Funds (Attachment 8)	_____

NOTE: ➤ **DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

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ACKNOWLEDGEMENT OF COMMUNICATION FORM

For CDHS/TCS Tobacco Control Interventions Targeting Young Adults RFA #TCS-01-101 Application

*Applicant Agency: Please copy this form and send it to the appropriate agency to complete. Requests for signatures must occur by March 30, 2001.***TO:**

Project Director _____

Agency Name _____

Agency Classification:

- | | |
|--|---|
| <input type="checkbox"/> Local Lead Agency | <input type="checkbox"/> Regional Community Linkage Project |
| <input type="checkbox"/> CYAN | <input type="checkbox"/> Competitive Grantee |
| <input type="checkbox"/> Statewide Project | <input type="checkbox"/> Ethnic Networks |
| <input type="checkbox"/> Other | |

FROM:

Applicant Agency Representative _____

Applicant Agency Name _____

Please answer the following statements, sign, and return this form to the applicant agency immediately. Thank you.

I confirm that the applicant agency identified above communicated with me to coordinate and/or collaborate in the proposed Scope of Work activities for the CDHS/TCS Tobacco Control Interventions Targeting Young Adults RFA # TCS-01-101 Application.

- ☐ **Yes**, there was adequate communication with the applicant agency to plan for coordination and/or collaboration where appropriate.
- ☐ **No**, there was not adequate communication with the applicant agency to plan for coordination and/or collaboration

If the applicant agency is planning to coordinate or collaborate with your agency briefly describe how:

Is there duplication of activities? ☐ **Yes** ☐ **No**

If yes, please explain: _____

Signature: _____

Date: _____

Print Name: _____

Phone No.: (____)_____

Exhibit A
Tobacco Control Section
Scope of Work

Grant Number:
Agency Name:
Project Name:

Grant Term:
Revision Date:
Report Period:

Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Priority Area:							

* Indicates a change
+ On file in office

DRUG-FREE WORKPLACE CERTIFICATION

STD. 21 (12/93)

I, the official named below, hereby swear that I am duly authorized legally to bind the prospective bidder, contractor or grant recipient to the certification described below. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

COMPANY / ORGANIZATION NAME:

OFFICIAL'S NAME:

DATE EXECUTED:

EXECUTED IN THE COUNTY OF:

CONTRACTOR or GRANT RECIPIENT SIGNATURE:

TITLE:

FEDERAL ID NUMBER:

The firm named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
 - (a) The dangers of drug abuse in the workplace,
 - (b) The person's or organization's policy of maintaining a drug-free workplace,
 - (c) Any available counseling, rehabilitation and employee assistance programs, and
 - (d) Penalties that may be imposed upon employees for drug abuse violations.
3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:
 - (a) Will receive a copy of the company's drug-free workplace policy statement, and
 - (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

At the election of above named firm, from and after the "Date Executed" and until _____ (not to exceed 36 months), the Department of Health Services (DHS) will regard this certificate as valid for all contracts or grants entered into between the above named firm and DHS without requiring the above named firm to provide a new and individual certificate for each contract or grant. If the above named firm elects to fill in the blank date, then the terms and conditions of this certificate shall have the same force, meaning, effect and enforceability as if a certificate were separately, specifically, and individually provided for each contract or grant between the above named firm and DHS.

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

- A. General Ledger, Journals, and Charts of Accounts
- B. Cash Receipts and Disbursements Journal with Supporting Documents
- C. Vendor Invoices to Support Expenditures
- D. Program Remittance Advices from State Controller
- E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
- F. Travel Log, Employee Expense Claims and appropriate receipts
- G. Billing Records (Program Log)
- H. State and Federal Tax Withholding Records
- I. Financial Statements and Independent Auditor's of County Auditor's Report
- J. Computation of the Fringe Benefit of Fund Sources
- K. Agency wide Budget and Listing of Fund Sources
- L. Copies of Monthly Invoices to the State
- M. Copies of Reimbursement Warrants and Remittance Advices from the State
- N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

- A. Project Application (submitted in response to this RFA)
- B. Contract and Contract Amendments
- C. CDHS/TCS Competitive Grantee Administrative and Policy Manual
- D. Progress Reports and the Final Report
- E. Program Audit Reports of Site Visits
- F. Scope of Work, Parts I and II
- G. Correspondence Regarding the Contract and/or Subcontracts
- H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

- A. Board of Director's Minutes and Articles of Incorporation
- B. Non-Profit Approval Letter/Certification
- C. Organization Chart (Agencywide) and Duty Statements
- D. Program Correspondence Files
- E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:

Agency Financial Management Official:

Signature

Date

Signature

Date

Print Name and Title

Print Name and Title

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

Company/Organization Name

Please check one of the following:

- ☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.
- ☐ Universities/Colleges Only
 The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

Signature

Date

Print Name and Title

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SAMPLE INTERVENTION ACTIVITIES

Please remember that these interventions are neither required nor exclusive and are offered only as a guide or starting point for applicants in their application design.

Priority 1: Counter Pro-Tobacco Influences in the Community

Point of Sale Advertising & Promotion

- Promote policies to prohibit or restrict in-store tobacco advertising and promotions or outdoor signage not banned by the Master Settlement Agreement (MSA) at locations frequented by 18- to 24-year-olds.
- Document tactics that target young adults with increased signage or placement.
- Expose and counter the tobacco industry's tactic of offering monetary compensation for preferred in-store advertising space by documenting the level and frequency of tobacco industry slotting tactics, explore alternative product placement options, promote policies that ban slotting fee activities for tobacco (similar to what currently exists for alcohol).

Transnational Influence

- Identify and publicize how transnational promotion of, and addiction to, tobacco impacts California's young adults, especially those of ethnic populations (especially recent immigrants).
- Educate policy makers and opinion leaders about tobacco dumping in developing countries and its impact on trade relations.
- Promote adoption of the World Health Organization Framework Convention for Tobacco Control.

Sponsorship/Corporate Giving

- Reduce the level of tobacco industry sponsorship of local organizations or events.
- Advocate for policies that prohibit acceptance of tobacco industry funds for donations, scholarships, event sponsorship, and/or corporate giving.

Celebrity Participation in Sporting and Entertainment Events

- Monitor, expose, and reduce the number of individuals who use their celebrity status to market tobacco products to young adults locally and overseas.
- Create media campaigns and letter writing campaigns to raise public awareness.
- Enlist support by obtaining celebrity pledges to not accept tobacco industry funds.
- Promote policies to prohibit celebrity events where tobacco industry sponsorship exists.

Exploitation of Ethnic Groups

- Create advocacy campaigns that protest the exploitation of certain ethnic images in tobacco industry products, advertising, and promotions. Use of letter writing campaigns, in addition to media and press events, should be utilized.

Environmental Issues

- Conduct educational campaigns to link tobacco production and consumption to the global impact of deforestation, litter, fires and/or the world food shortage.
- Advocate for policies establishing increased fines and increased enforcement of littering policies of cigarette butts on college campuses, allocating fines to fund cleanup and enforcement.

Priority 2: Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-free Public Spaces, Worksites, Schools, and CommunitiesSmoke-free Bars

- Conduct an educational campaign exposing Bar Nights as a mechanism for the tobacco industry to target young adults.
- Increase compliance with California's smoke-free bar law within the Gay/Lesbian community through increased enforcement, bar owner education, compliance recognition, and community mobilization.

Workplace Compliance

- Increase the number of small workplaces (e.g. cantinas, coffeehouses, corner stores) that enforce the smoke-free law by educating business owners and encouraging increased enforcement.

Smoke-Free Homes and Vehicles

- Decrease the number of children and family members exposed to secondhand smoke through an education campaign that is specifically designed to reach a particular population that is disproportionately targeted by the tobacco industry and experiences disproportionately high rates of tobacco use.
- Educate smokers on secondhand smoke hazards through a specific populations media advocacy campaign.

Tribal Policies

- Establish policies to limit secondhand smoke exposure in public places on tribal lands, which are not covered under AB 13, including gaming facilities, restaurants, recreational facilities, tribal buildings, etc.
- Facilitate the efforts of statewide economic development collaboratives between tribal casinos and tribal governments that create smoke-free alternatives, policy adoption, community activism, and education of tribal policy makers.

Smoke-Free Outdoor Areas

- Promote smoke-free policies that will prohibit smoking in places where 18- to 24-year-olds congregate, such as public parks, amusement parks, zoos, recreational sites, outside entrances, exits of buildings.
- Conduct campaign to increase number of smoke-free college campuses/areas on college campuses.

Smoke-Free Outdoor Venues

- Institute policies to establish family and community events as smoke free or designated smoking areas at outdoor venues, such as concerts and festivals (Cinco de Mayo Festivals, Tet and New Year's Festivals, Pow-wows, Kwanza Festivals, etc.)

Smoke-Free Multiple Housing Units

- Advocate for smoke-free living spaces in ethnic neighborhoods where multiple housing units (apartment buildings and condominiums) exist. Gain support through tenant petitions, property owner and/or management education, corporate policies, and tobacco free housing registries.
- Promote policies that prohibit smoking in college dorms/military housing.
- Promote policies within the Greek system of college housing that prohibit smoking/free sampling of tobacco products.

Priority 3: Reduce Availability of Tobacco Products

Retail Tobacco Sales

- Advocate for policies that regulate how tobacco is sold in retail outlets by promoting retailer licensing and self-service display bans.
- Promote policies that eliminate tobacco sales on college campuses.
- Encourage law enforcement personnel to actively enforce Penal Code Section 308(a).
- Develop community collaborations to build more consistent enforcement action and policy promotion by training law enforcement personnel, community and merchant education.
- Advocate for policies to eliminate tobacco advertising in college newspapers.

Location of Tobacco Retail Outlets

- Document intentional targeting of college neighborhoods by the tobacco industry to establish a foundation for “public nuisance,” create an action plan to address the problem by promoting conditional use permits, and/or encouraging mall, shopping center and plaza lease agreements to prohibit businesses that sell tobacco products.

Priority 4: Increase Availability of Cessation Services

Community Cessation Services

- Promote development of behavior modification-based tobacco cessation services that are culturally and linguistically appropriate for populations served in your community.
- Promote development of cessation support services for students and all staff who use tobacco within public colleges/universities and trade schools.
- Promote health and cessation activities at college campus events.

Health Care and Cessation Services

- Promote implementation of Public Health Service clinical practice guidelines for tobacco cessation in public employee health care plans serving populations in your community.
- Promote implementation of Public Health Service clinical practice guidelines for tobacco cessation within managed care organizations serving populations in your community.
- Develop community collaborations with health care providers to increase ethnic referrals to California Smokers' and Chewers' Helpline.

CDHS/TCS workgroups address reducing secondhand smoke, point-of sale, alternative tobacco, and transnational tobacco issues. In addition, three statewide campaigns will be ongoing during the contract term of funded projects: 1) Project Smart (Sponsorship Mission: Avoid Reliance on Tobacco) Money which focuses on tobacco industry sponsorships and compliance with MSA; 2) Communities of Excellence, which focuses on community assessment, planning, and action regarding tobacco control issues; and 3) Point-of-Sale Environment, which is in the developmental stage and will address issues related to tobacco and the point-of-sale environment. Applicants should allocate time and resources to participate in statewide campaigns and activities that are similar in nature to their proposed Scope of Work. Workgroup members and campaign participants will, in many cases, be able to provide technical assistance, training, and materials to grantees.

If a project intends to participate in the Point-of-Sale Environment Statewide Campaign, staff should be prepared to spend approximately 20 percent of the project's time on the campaign activities during the period April 2002 to June 2004. In the Scope of Work/Workplan, the following language may be used as an "Activity" to describe participation in the campaign:

"Participate in the Point-of-Sale Environment Statewide Campaign to implement activities focused on the following issues (insert all of the following that apply and that are related to your outcome objective – point-of-sale tobacco advertising, tobacco retail licensing, tobacco self-service display bans, facilitate increased enforcement of the Lee Law or local laws addressing outdoor tobacco signage at businesses."



State of California

Bill Jones

Secretary of State

P.O. Box 944230
Sacramento, CA 94244-2300
(916) 657-3537

APPENDIX B

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

A \$10 FILING FEE MUST ACCOMPANY THIS STATEMENT

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

PLEASE READ INSTRUCTIONS ON BACK OF FORM.

PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.

THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT

2. STREET ADDRESS OF PRINCIPAL OFFICE (IF NONE, COMPLETE 3-3B) (DO NOT USE P.O. BOX NO.)	SUITE OR ROOM	2A. CITY AND STATE	2B. ZIP CODE
3. MAILING ADDRESS	SUITE OR ROOM	3A. CITY AND STATE	3B. ZIP CODE

THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER	4A. STREET ADDRESS (SEE REVERSE SIDE)	4B. CITY AND STATE	4C. ZIP CODE
5. SECRETARY	5A. STREET ADDRESS (SEE REVERSE SIDE)	5B. CITY AND STATE	5C. ZIP CODE
6. CHIEF FINANCIAL OFFICER	6A. STREET ADDRESS (SEE REVERSE SIDE)	6B. CITY AND STATE	6C. ZIP CODE

DESIGNATED AGENT FOR SERVICE OF PROCESS: (ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION.
PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

COMMON INTEREST DEVELOPMENT ASSOCIATION SECTION 1350, ET SEQ., CIVIL CODE

9. ☐ THIS CORPORATION **IS NOT** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)

10. ☐ THIS CORPORATION **IS** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE

TITLE

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

- FILING PERIOD:** All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.
- FILING FEE:** All Nonprofit Corporations must submit a ten dollar (\$10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CASH.
- ITEMS 2—2B:** The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.
- ITEMS 3—3B:** The address to be entered is the MAILING ADDRESS for the corporation.
- ITEMS 4—6C:** Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.
- ITEM 7:** Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)
- ITEM 8:** If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.
- ITEMS 9—10B:** Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.
- ITEM 11:** Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.
- (NOTE) ITEM 1:** Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.
- FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A \$50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)
- NOTE:** Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINCINNATI, OH 45201

Date:

XX-XXXXXXXX

XXXXXXXXXX

XXXX XXXXX

(XXX) XXX-XXXX

March 31

170 (b) (1) (A) (vi)

January 22, 1997

March 31, 2001

None

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

APPENDIX C

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of \$20 per day for each day there is a failure to comply (up to a maximum of \$10,000 in the case of an annual return).

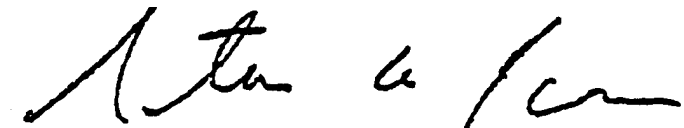
You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

A handwritten signature in black ink, appearing to read "A. L. ...", is written over the printed name of the District Director.

District Director

PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

Parent Company: Philip Morris Incorporated, Philip Morris International, Inc., Kraft Foods, Inc., and Miller Brewing Company.

KRAFT Foods, Selected Brands

Coffee:	Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks
Soft Drinks:	Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun
POST Cereals:	Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100% Bran
Condiments & Sauces:	Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces.
Confectioneries:	Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates
Dry Desserts:	D-Zerta, Jell-O, Minute brand tapioca
Dry Grocery:	Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins
Ethnic Foods:	Taco Bell dinner kits, salsa and meal components
Meals/ Side Dishes:	Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese
Salad Dressing:	Good Seasons mixes, Kraft, Seven Seas
Snacks:	Handi-Snacks, Kraft

Toppings:	Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip
Cheese:	
Parmesan/ Romano:	Kraft, Kraft Free, Di Giorno
Natural:	Kraft, Cracker Barrel, Harvest Moon
Processed American Cheese:	Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheez Whiz, Light n' Lively, Old English, Velveeta
Cream Cheese:	Philadelphia, Philly Flavors, Temp-Tee
Other Cheeses:	Athenos, Churny, Di Giorno, Hoffman's, Polly-O
Dairy Products:	Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream
Fresh Pasta & Sauces:	Di Giorno
Processed Meats:	Oscar Mayer hot dogs, cold cuts and bacon, Osacar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts, and bacon), Louis Rich Carving Board sliced meats
Pickles & Sauerkraut:	Claussen
Pizza:	Di Giorno, Jack's, Tombstone

KRAFT Foods International, Selected Brands

Cheese:	Dairylea, Eden, El Caserio, Invernizzi, Kraft, P'tit Quebec, Philadelphia, Sottilette
Coffee:	Blendy, Carte Noire, Gevalia, Grand' Mere, Jacobs Kronung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

Confectioneries: Aladdin, Cote d'Or, Daim, Figaro, Freia, Hollywood, Korona, Lacta, Marabou, Milka, Poiana, Prince Polo, Suchard, Sugus, Terry", Toblerone Powdered Soft Drinks, Clight, Frisco, Q-Refresko, Tang

Other: Bird's custard, Estrella snacks, Kraft ketchup, Kraft peanut butter, Magic Moments pudding, Miracle Whip/Dream Whip spread, Miracoli pasta, Simmenthal canned meats, Vegemite spread

Miller Trademark Brands

Miller Lite, Miller Lite Ice, Miller Genuine Draft, Miller Genuine Draft Lite, Miller High Life, Miller High Life Light, Miller High Life Ice, Miller Beer, Sharp's non-alcohol brew, Milwaukee's Best, Milwaukee's Best Light, Milwaukee's Best Ice, Meister Brau, Meister Brau Light, Magnum Malt Liquor, Henry Weinhard's Private Reserve, Henry Weinhard's Dark, Henry Weinhard's Porter, Henry Weinhard's Amber Ale, Henry Weinhard's Pale Ale, Henry Weinhard's Hazelnut Stout, Henry Weinhard's Blackberry Wheat, Henry Weinhard's Hefeweizen, Henry Weinhard's Red Lager, Hamm's, Hamm's Draft, Hamm's Light, Olde English 800 Malt Liquor, Olde English 800 Ice, Mickey's Malt Liquor, Mickey's Ice, Red Dog, ICEHOUSE, Southpaw Light, ICEHOUSE Light, Leinenkugel's Original Premium, Leinenkugel's Light, Leinenkugel's Northwoods Lager, Leinenkugel's Genuine Bock (seasonal), Leinenkugel's Red Lager, Leinenkugel's Winter Lager (seasonal), Leinenkugel's Autumn Gold (seasonal), Leinenkugel's Honey Weiss, Leinenkugel's Berry Weiss (seasonal), Leinenkugel's Auburn Ale, Leinenkugel's Big Butt Doppelbock (seasonal), Leinenkugel's Maple Brown Lager, Leinenkugel's Creamy Draft (draft only), Leinenkugel's Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal) Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai, People's Republic of China)

Parent Company: US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

DIRECTIONS TO THE TOBACCO CONTROL SECTION (TCS)

CDHS/TCS is located at 601 North 7th Street in the Continental Plaza building. There is visitor parking located at the 2nd Continental Plaza entrance. There is a charge for parking (\$6.00 for all day or 50 cents an hour), but there is also some minimal free parking available along the street. The entrance to the building is on the south side of the building, which faces Richards Boulevard. Check in with the security guard at the front entrance, and they will call our staff to come and meet you.

From the Sacramento International Airport to TCS:

Take I-5 South and take the Richards Boulevard exit (**If you pass J Street, you have gone too far**). At the exit light, turn left under the freeway. Follow Richards Boulevard to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From Fresno to TCS:

Take I-5 North toward Sacramento. You will see exits for Highway 50 and Business 80. REMAIN IN THE LEFT LANES AND CONTINUE NORTH! You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**). Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From South Lake Tahoe to TCS:

Take Highway 50 toward Downtown Sacramento. You will pass exits for Business 80/Reno and Highway 99. REMAIN IN THE LEFT LANES UNTIL YOU PASS THESE EXITS! Continue on Highway 50 until you see signs for I-5 North (Redding). You will pass exits for 16th and 10th Streets. You will need to get in the far RIGHT lanes TO TAKE THE I-5 North exit. After taking the I-5 North exit, you will quickly need to merge to the left. You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**) Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From the Bay Area to TCS:

There are two ways to get to TCS. It depends on which freeway you take.

1. Heading East on Business 80/Highway 50 toward Sacramento/South Lake Tahoe: Cross the Sacramento River, and take the I-5 North (Redding) exit. You will pass the Q and J

Street exits. Take the Richards Boulevard exit. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)** Turn right at the off-ramp light and continue to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

OR

2. Heading East on Business 80 toward Sacramento/South Lake Tahoe: **(after Davis and before West Sacramento)** - - take Interstate 80/Reno. Interstate 80 will cross the Sacramento River and will swing around to intersect with I-5. Take the I-5 (South) exit toward downtown Sacramento. You will pass the Garden Highway exit and cross over the American River. Take the Richards Boulevard Exit. **IF YOU PASS THE J STREET AND Q STREET EXITS, YOU HAVE GONE TOO FAR!** Turn left at the off-ramp light and continue on to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

Exhibit A
Tobacco Control Section
Scope of Work
INSTRUCTIONS OVERVIEW

Grant Number:

Grant Term: 07/01/01-06/30/04

Agency Name:

Revision Date: 04/12/01

Project Name:

Report Period:

Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Priority Area: State one of the priority areas (e.g. Counter Pro-Tobacco Influences in the Community; Reduce Exposure to Secondhand Smoke; Reduce Availability of Tobacco Products; or Increase Availability of Cessation Services). Do not “co-mingle” priority areas.							
<p><i>In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention, describe the outcome evaluation plan. <u>Process evaluation activities are listed in column #6.</u></i></p> <p>1. Outcome Specific Objective: The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited.</p> <p><i>Example: By 4/30/02, the City of OZ will enact a policy to license tobacco retailers.</i></p> <p>A. Intervention: Use an outline format to describe the activities to be conducted to achieve the objective. Group activities under major intervention categories: Coordination/Collaboration; Community Education; Educational Materials Development; Incentive Items; Media; Mini-Grants; Policy; Promotional Items; School-based Education; Sponsorship; and Training, with activities listed chronologically within each category. Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, letter writing campaigns, press conferences, materials development, etc.</p> <p><i>Example: Conduct 2-4 community forums on tobacco retailer licensing with participation from law enforcement, youth, parents and other interested parties. Topics to be addressed will include the problem of illegal sales of tobacco products, solutions, and action steps.</i></p> <p>B. Outcome Evaluation Activities: Describe the evaluation design, methodology, data collection and analysis, and plan for disseminating evaluation findings.</p>	Indicate if the activity involves development of a product such as a brochure, poster, ad, manual, etc. for which there should be a copy-right by placing the sign ©	For each program deliverable, indicate a percent between 0.5% and 100% that reflects the value or percent of effort by staff and budget. Total %s assigned may not be greater than 100%.	<p>Describe the period that major activities will be implemented.</p> <p>Provide the start and end date for completion of the activity.</p> <p>Provide both the month and year.</p> <p>Do not give the entire contract period as the start and end date for each activity.</p>	<p>Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc.</p> <p>Please list the position title.</p> <p>If using acronyms, please indicate what the acronym stands for.</p>	<p>Describe the tracking measures which document that the process oriented activities were completed</p> <p>Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept “on file in the office.” Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit.</u></p>		

* Indicates a change

+ On file in office

TIPS FOR WRITING OUTCOME OBJECTIVES

Once you have assessed your community's needs, identified community resources, and conducted a prioritization process, you are ready to begin writing objectives. Well-written objectives enable you to formulate your intentions in concrete terms; they are a key to successful program design, implementation and evaluation.

Projects are required to develop outcome objectives with specific, measurable results. However, process objectives may also be appropriate for some community activities.

WHAT IS AN OUTCOME OBJECTIVE?

An outcome objective is a statement of the results one hopes to achieve through intervention activities. It is specific, time-limited and measurable.

Outcome Objectives specify:

- Who or what is expected to change
- What and how much will change
- Where the change will occur
- When the change will occur

Outcome Objectives focus on the community-level social norm change, rather than individual-level change and address the priority areas: counter pro-tobacco influences, reduce exposure to secondhand smoke, reduce the availability of tobacco, and promote tobacco cessation services.

Example: Extent of in-store tobacco advertising

Priority Area: Counter Pro-Tobacco Influences

Objective: By May 30, 2004, 40 of 75 chain and independent pharmacies in Bay City will have eliminated all in-store tobacco advertising and promotions.

HOW TO WRITE AN OUTCOME OBJECTIVE

Developing specific, measurable outcome objectives requires time, systematic thinking and an understanding of the expected effect of a program. Well-written outcome objectives provide important guidance for the implementation and evaluation of an intervention.

Example: Extent of enforcement/compliance with state/local smoke-free worksite law(s)

Priority Area: Reduce Exposure to Secondhand Smoke

Objective: By June 30, 2002, at least 85 percent of 100 businesses in Korean Town will demonstrate and maintain compliance with Labor Code 6404.5 as determined by an annual observational survey.

When writing outcome objectives, consider the following questions:
(Answers are based on the example above)

1. Is it specific?

- **Who or what** is expected to change or benefit?
Example: Percentage of businesses demonstrating and maintaining compliance.
(measured by: annual observational survey).
- **What/how** much change or benefit is expected?
85 percent of 100 businesses in compliance.
- **Where** will the change occur?
Korean Town
- **When** will the change occur or is a completion date specified?
By June 30, 2002

2. Is it observable and measurable?

The outcome must be something measurable e.g., self-reports or something seen, counted, heard, smelled, etc. In the above example, the project will observe via a survey whether businesses are in compliance with the law(s).

3. Is it achievable/reachable?

Write outcome objectives that are likely to be achieved. A baseline measure will assist you in estimating the level of success you might expect to achieve. Decide whether your intervention is realistic by considering baseline measurements as well as by using your knowledge and experience in this area. Be realistic. Don't overestimate the probable outcome. For example, an outcome objective of 90 percent merchant compliance with sidewalk tobacco sign removal may be unrealistic if, at the start of the intervention, only 30 percent of the retailers are in compliance. An outcome objective of 50 percent to 60 percent may be more realistic, and is therefore an achievable outcome objective.

If you don't know the baseline or current level of a proposed outcome, you may not be able to estimate how much change is achievable. You can gather such information before you finalize your outcome objective, or you can write your objective but end it with a note stating, for example, "percent change is an estimate and may change following the assessment of baseline/current levels."

4. Is it meaningful and important?

Even if achievable, an outcome may not be sufficiently meaningful and important to be justified. In the above cited example, if, at the beginning of your intervention, 80 percent

of the businesses are already in compliance, then an intervention that will at best yield only a modest compliance increase from 80 percent to 85 percent may not be worth the effort. One way to check whether the outcome of your objective is worthwhile is to give it the "who cares" test. For example achieving one thousand pledges to establish smoke-free homes is meaningless if smokers continue to smoke in homes. A more meaningful outcome would be to have people report on whether they have actually established and maintained a smoke-free home. There are no hard and fast rules. Consider the required financial and human resources and the cost-benefit of the intervention.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the CDHS/TCS grant:

- A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.
- B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.
- C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.
- D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.
- E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.
- F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.
- F. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other

copyright holders shall be used without prior written permission of the State and the holder of the copyright.

- H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.
- I. The Grantee represents and warrants that:
- 1) the Grantee is free to enter into and fully perform this agreement;
 - 2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;
 - 3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;
 - 4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a liable or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and
 - 5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.
- J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.
- K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and

expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

- L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:
 - 1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or
 - 2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or
 - 3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.
- M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs

BUDGET SAMPLE

APPENDIX I

Name of Grantee: ABC Community Agency

Grant Number: 01-xxxxx

Term: 07/01/01 - 06/30/04

Revision Date: April 12, 2001

	Pay Period	# of Pay Periods Per Year	Salary Range	% of time or Hours per PP	07/01/2001 06/30/2002	07/01/2002 06/30/2003	07/01/2003 06/30/2004	Total Budget
A. PERSONNEL COSTS								
1. Project Director	S	24	\$4,220-\$5,274	100	\$0	\$0	\$0	\$0
2. Project Coordinator	S	24	\$3,840-\$4,801	100	\$0	\$0	\$0	\$0
3. Health Educator	S	24	\$3,193-\$3,980	100	\$0	\$0	\$0	\$0
4. Project Assistant	S	24	\$3,130-\$3,805	100	\$0	\$0	\$0	\$0
5. Secretary	H	24	\$2,525-\$3,072	20-40 hrs/pp	\$0	\$0	\$0	\$0
Total Personnel Costs:					\$0	\$0	\$0	\$0
B. FRINGE BENEFITS @ XX%-XX% of Total Personnel Costs					\$0	\$0	\$0	\$0
TOTAL PERSONNEL EXPENSES:					\$0	\$0	\$0	\$0
C. OPERATING EXPENSES					\$0	\$0	\$0	\$0
D. EQUIPMENT EXPENSES					\$0	\$0	\$0	\$0
E. TRAVEL/PER DIEM and TRAINING					\$0	\$0	\$0	\$0
F. SUBCONTRACTS AND CONSULTANTS								
1. Evaluation Consultant					\$0	\$0	\$0	\$0
2. Media Consultant					\$0	\$0	\$0	\$0
3. ABC Company					\$0	\$0	\$0	\$0
TOTAL SUBCONTRACTS AND CONSULTANTS:					\$0	\$0	\$0	\$0
G. OTHER COSTS								
1. Educational Materials					\$0	\$0	\$0	\$0
2. Promotional Items and Incentives					\$0	\$0	\$0	\$0
3. Media, Public Relations, Advertising					\$0	\$0	\$0	\$0
4. Additional Expenses					\$0	\$0	\$0	\$0
TOTAL OTHER COSTS:					\$0	\$0	\$0	\$0
H. INDIRECT EXPENSES @ XX%-XX% of Total Personnel Expenses					\$0	\$0	\$0	\$0
TOTAL EXPENSES					\$0	\$0	\$0	\$0

BUDGET JUSTIFICATION SAMPLE

ABC COMMUNITY SERVICES, INC.
BUDGET JUSTIFICATION
JULY 1, 2001-JUNE 30, 2004

		<u>AMOUNT REQUESTED</u>			
		<u>FY 01/02</u>	<u>FY 02/03</u>	<u>FY 03/04</u>	<u>Total for Grant Term</u>
A. PERSONNEL SALARIES					
1.	Project Director (\$1,400-\$1,600 paid semi-monthly) x (100%) x (24 pay periods/per year)	\$ 33,600	\$ 36,000	\$ 38,400	\$ 108,000
	Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.				
2.	Health Educator (\$1,250- \$1,450 paid semi-monthly) x (80-100%) x (20 pay periods/per year)	\$20,000	\$ 24,300	\$ 29,000	\$ 73,300
	Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.				

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant Specialist III	Project Director	\$4,389-\$5,485
Health Education Consultant II	Senior Health Educator or Assistant Project Director	\$3,994-\$4,993
Health Education Consultant I	Health Educator or Health Education Assistant	\$3,321-\$4,139
Administrative Assistant I	Program Coordinator/Assistant	\$3,255-\$4,140
Office Services Supervisor II	Office Manager	\$2,628-\$3,195
Management Services Technician	Community Health Worker	\$2,220-\$2,700
Research Scientist II	Evaluation Consultant	\$4,724-\$5,699
Research Scientist I	Evaluation Consultant	\$4,301-\$5,189
Associate Governmental Program Analyst	Research Analyst II	\$3,915-\$4,759
Staff Services Analyst	Research Analyst I	\$2,507-\$3,049

Travel Reimbursement Information
Effective November 2, 1999

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.
 - a. Reimbursement shall be at the rates established for similar state employees.
 - b. Short Term Travel is defined as more than 24-hours, but less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever contract leaves his or her home or headquarters. "Headquarters" is defined as the place where contracted personnel spend the largest portion of their working time and return to upon the completion of special assignments.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this bulletin to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

(1) Lodging:

- a. Statewide Rate (with receipts): Actual cost up to \$84.00 plus tax.
- b. When required to do business and obtain lodging in the counties of Alameda, San Francisco, San Mateo and Santa Clara, and Central and Western Los Angeles reimbursement will be for actual receipted lodging to a maximum of \$110 plus applicable taxes. Central and Western Los Angeles is the territory bordered by Sunset Boulevard on the north, the Pacific Ocean on the west, Imperial Blvd/Freeway 105 on the south and Freeways 110, 10, and 101 on the east. This area includes downtown L.A., Inglewood, L.A. International Airport, Playa del Rey, Venice, Santa Monica, Brentwood, West L.A., Westwood Village, Culver City, Beverly Hills, Century City, West Hollywood and Hollywood.

Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

- (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Breakfast	\$6.00	Dinner	\$18.00
Lunch	\$10.00	Incidentals	\$6.00

- d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.
 - e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.
 - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 31 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim a rate of 31 cents per mile without certification and up to 37 cents per mile with certification. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.
5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

TRAVEL REIMBURSEMENT GUIDE

IF LENGTH OF TRAVEL IS	IF THIS CONDITION EXISTS	CONTRACTOR MAY CLAIM
Less than 24 hours	Travel begins at or before 6:00 a.m. and ends at or after 9:00 a.m. <i>Example: A contractor may claim breakfast if, during a period of travel, he or she begins their travel at 5:30 a.m. and ends their travel at 9:30 a.m.</i>	Breakfast
Less than 24 hours	Travel begins at or before 4:00 p.m. and ends at or after 7:00 p.m. <i>Example: A contractor may claim dinner if, during a period of travel, he or she begins their travel at 3:30 p.m. and ends their travel at 7:30 p.m.</i>	Dinner
Less than 24 hours	Lunch or incidentals may not be claimed on a trip of less than 24 hours	
24 Hours	A contractor is on travel status for a full 24 hour period (determined begin and end times).	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Return at or after 8:00 a.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 8:00 a.m., a breakfast allowance may be claimed.</i>	Breakfast
Last fractional part of more than 24 hours.	Return at or after 2:00 p.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 2:00 p.m., a lunch allowance may be claimed.</i>	Lunch
Last fractional part of more than 24 hours.	Return at or after 7:00 p.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 7:00 p.m., a dinner allowance may be claimed.</i>	Dinner